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ABSTRACT

The fifth of seven volumes from a national survey of individualized education programs (IEPs) for handicapped children reviews findings from a study of IEPs from state/special facilities across the country. Findings are reported for 10 research questions, including student and facility characteristics, basic properties and content areas of IEPs, personnel involved in developing and approving IEPs, and special education and related services specified in the IEPs. Among major findings were that many state/special facility IEPs lacked informativeness and internal consistency; state/special facility IEPs had an average length of eight pages; only about one third of them contained all of the 11 information items required by P.L. 94-142, the Education for All Handicapped Children Act; parents, guardians, or surrogates participated in developing 50% of the state/special facility IEPs and signed 48% of them; and that students with severe levels of handicapping conditions may have participated more often in the development of their IEPs than students with mild levels. (CL)

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FINAL REPORT

A NATIONAL SURVEY OF INDIVIDUALIZED EDUCATION PROGRAMS (IEPs) FOR HANDICAPPED CHILDREN

Volume V

STATE/SPECIAL FACILITY SUBSTUDY FINDINGS

by

John N. Pyecha, Project Director
J. Lamarr Cox, Associate Project Director
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Prepared for

Office of Special Education
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RESEARCH TRIANGLE PARK, NORTH CAROLINA 27709

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The research reported herein was performed pursuant to a contract with the Bureau of Education for the Handicapped (now the Office of Special Education within the Department of Education), U.S. Department of Health, Education, and Welfare. Contractors undertaking such projects under government sponsorship are encouraged to express freely their professional judgment in the conduct of the project. Points of view and opinions stated do not, therefore, necessarily represent official U.S. Department of Education position or policy.

Preface and Acknowledgements

A National Survey of Individualized Education Programs (IEPs) for Handicapped Children, the final report of the research conducted by the Research Triangle Institute under USOE Contract Number 300-77-0529, is presented in five volumes:

Volume I, Executive Summary of Methodology and Major Findings

Volume II, Introduction, Methodology, and Instrumentation

Volume III, Findings for the Basic Survey

Volume IV, Findings for the Retrospective Longitudinal Substudy

Volume V, Findings for the State/Special Facility Substudy.

The authors, in preparing Volume V of this report, wish to express their special appreciation for the cooperation and contributions of a number of people, both within and outside the Research Triangle Institute (RTI).

Valuable professional guidance was provided by Drs. Linda Morra and Nancy Safer, Office of Special Education. Dr. Morra served as the OSE Project Officer during the design and data collection phases of the study; Dr. Safer served as the Project Officer during the report preparation phase.

The following persons made contributions to the sample design, data processing, IEP coding, data analysis, and report preparation activities of this substudy:

Ms. Paula Bell (University of North Carolina at Chapel Hill): IEP rater for the Informativeness/Internal Consistency Study

Dr. Charles Benrud: Sample selection

Ms. Annette Born: Survey field supervisor

Mr. Dick Boytos: Survey field supervisor

Mr. Wayne Bradburn: Field staff training and supervision

Mr. Dale DeWitt: Task leader for data collection activities

Dr. Douglas Drummond: Task leader for sample design, sample selection and weight computation; consultant for data analysis and standard error computation

Ms. Barbara Elliott: Report editing and typing

Ms. Dorothy Grossman: Survey field supervisor

Ms. Harriette Hance: Survey field supervisor

Mr. Robert Hartmann: Survey field supervisor

Ms. Laurie Holder: Survey field supervisor

Ms. Mimi Holt: Data processing procedures

Ms. Susan Jones: Report typing

Mr. Jay Jaffe: Data analysis, computerized editing, and standard error computation

Dr. Morse Kalt: Task leader for developing and maintaining the computerized document receipt and control system, and computerized editing

Ms. Shirley Krampf: Survey field supervisor

Ms. Carolee Lane: Supervisor of IEP coding, and report review

Ms. Pam Lester: IEP coder and data analysis

Ms. Peggy Ogle (University of North Carolina at Chapel Hill): IEP rater for the Informativeness/Internal Consistency Study

Dr. Jim Paul (University of North Carolina at Chapel Hill): Report review

Ms. Mary Jim Pianowski: Survey field supervisor

Ms. Pat Porter (University of North Carolina at Chapel Hill): IEP rater for the Informativeness/Internal Consistency Study

Ms. Alice Ritchie: Survey field supervisor

Ms. Lorraine Robinson: Survey field supervisor

Ms. Edith Rolfes: Survey field supervisor

Ms. Mary Ann Rowland: Sample selection

Ms. Linda Shaver: Report typing

Ms. Lois Sloofman: Survey field supervisor

Ms. Celestine Smith: Report typing

Ms. Cecille Stafford: IEP coder

Ms. Betty Sutton: IEP coder

Ms. Kay Taylor: Survey field supervisor

Ms. Judi Thiele: Facility mail and telephone contacts; IEP coding; data analysis

Ms. Maizie Van Sciver: Survey field supervisor

Ms. Anna Ver Steeg: IEP coder and data analysis

Ms. Lucia Ward: IEP coder and data analysis

Ms. Lisa Weiss: Survey field supervisor

Ms. Marci Wheeler: Data receipt control

Ms. Judy Whisnant: IEP coder

Ms. Hilda Zimmerman: Survey field supervisor

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Chapter 1

Introduction

I. GENERAL

The National Survey of Individualized Education Programs (IEPs) for Handicapped Children was conducted in the spring of 1979 by the Research Triangle Institute (RTI), under contract to the Bureau of Education for the Handicapped (currently the Office of Special Education within the Department of Education), USOE. This national survey consisted of a Basic Survey and two companion substudies. The methodology and findings of this national survey, which consisted of a Basic Survey and two companion substudies, are described in five volumes. Volume I is an executive summary of the survey methodology and findings. Volume II describes the background, objectives, methodology, and instrumentation. Volume III describes the properties and contents of IEPs prepared for the target population of the Basic Survey. Volumes IV presents the findings of the Retrospective Longitudinal Substudy. This volume, Volume V, describes the properties and contents of IEPs prepared for the target population of the State/Special Facility Substudy.

The target population for this substudy was students in state/special facilities, defined as: (a) non-LEA-administered schools listed in the CIC Directory (Curriculum Information Center, Incorporated, 600 Ross Building, 1726 Champa Street, Denver, Colorado, 80202); (b) institutions receiving P.L. 89-313 funds according to the third annual report of the United States Commissioner of Education on Uses of State Administered Federal Education Funds; and (c) institutions included in the Office of Civil Rights list constructed in the fall of 1978. The IEPs collected and analyzed for the State/Special Facility Substudy were prepared for students, ages 3-21, who were enrolled in state/special facilities.

The organization of Volume V is described in Section II below.

II. ORGANIZATION OF VOLUME V

The State/Special Facility Substudy was designed to answer five of the twenty major research questions that were developed for the national survey.

(See Volume II, Chapter 3 for a complete list.) The first of these major questions asks that the first six questions developed for the Basic Survey also be applied to the State/Special Facility Substudy. Therefore, the State/Special Facility Substudy focused on a total of ten questions that are very nearly parallel to those in the Basic Survey report. These ten questions are listed below. (The specific questions associated with each of these general questions are presented as Appendix A of this volume.)

Question 1: What do State/Special Facility IEPs look like?

Question 2: What kinds of information do State/Special Facility IEPs contain?

Question 3: How is information presented in State/Special Facility IEPs?

Question 4: Who participates in the development and approval of State/Special Facility IEPs?

Question 5: What types of special education and related services are specified in State/Special Facility IEPs?

Question 6: How informative and internally consistent are State/Special Facility IEPs?

Question 7: What are the characteristics of students who have IEPs and are enrolled in state/special facilities, and of the facilities in which they are enrolled?

Question 8: How do the types of special education services specified in State/Special Facility IEPs vary by selected student characteristics?

Question 9: How do the formats, properties, contents, and development processes of State/Special Facility IEPs vary by selected student characteristics?

Question 10: How do the answers to questions one through six above differ for students in Basic Survey schools (regular and special) and state/special facilities?

The results and major findings of the State/Special Facility Substudy are organized and presented as responses to these ten general questions in the following chapters, as outlined in Table 1.1. Each chapter contains, as a final section, a summary of the major findings presented in the chapter.

Chapter 2 presents a rather detailed description of the national population of handicapped children who were served in state/special facilities. The facilities in which these children were enrolled are also described.

Table 1.1

LINKAGE BETWEEN STATE/SPECIAL FACILITY SUBSTUDY QUESTIONS AND CHAPTERS IN WHICH ANSWERED

Study Questions	Chapters
1	3
2	4
3	4
4	5
5	6
6	7
7	2
8	7
9	3-6
10	3-7

Chapters 3 and 4 describe the basic properties and content areas of state/special facility IEPs.

Chapter 5 describes the personnel involved in developing and approving state/special facility IEPs.

In Chapter 6, the special education and related services specified in the IEPs of students in state/special facilities across the nation are described.

Chapter 7 describes the informativeness and internal consistency of state/special facility IEPs.

Chapters 3-7 also contain comparisons with findings in the Basic Survey and discussions of findings for subpopulations, as defined by selected student and school characteristics.

Chapter 8 presents a summary of major findings and a discussion of resulting conclusions. For the most part, the conclusions of the State/Special Facility Substudy result from findings that cut across several chapters; as a result, conclusions are presented in the final chapter as opposed to being discussed in earlier chapters.

The proportions, means, and other statistics presented and discussed in these chapters are population estimates based on weighted sample data. The

estimated standard errors associated with each of these population estimates are presented in appended tables. However, to preclude the excessive use of such qualifiers as "about" or "approximately," these estimates are discussed throughout this report as though they are precise population values. Although these population estimates and associated standard errors are reported to the nearest tenth of a whole number in the appended tables, they are usually rounded to the nearest whole number when discussed or presented in the body of the report.[1]

With one exception, all supporting materials have been appended separately by chapter; i.e., materials referenced in Chapter 1 have been placed in Appendix A, those referenced in Chapter 2 have been placed in Appendix B, etc. The exception is Appendix H, which contains a description of the major reporting variables used throughout this volume. Appendix H also notes the sample sizes for the reporting groups within each major reporting variable. Subpopulations with sample sizes of less than 25 also are noted in the tables presented in Appendixes B-G.

Within each of Chapters 3-7, findings pertinent to each topic are presented for the State/Special Facility Substudy population. In most cases these are followed by parallel findings for the Basic Survey population, with notation of statistically significant differences between the two populations. In some instances, findings then are presented comparing the State/Special Facility Substudy population separately with regular schools and special schools from the total Basic Survey population.

The small size of the State/Special Facility Substudy sample severely limited the number of subpopulations for which results could be reported. However, for some topics, findings are presented for students grouped by (a) age levels and (b) the level of severity of their handicaps. As noted above, sample sizes for and definitions of these reporting variables, i.e., the variables that define the subpopulations for which results are reported separately, are provided in Appendix H. Age and severity levels were selected as reporting variables on the basis of: (a) the extent to which specific

---

[1] Note in rounding that if the first digit to be dropped is 5, the last digit retained is increased by 1 if it is odd but is kept unchanged if it is even; for example, 7.5 becomes 8 and 6.5 becomes 6. [National Center for Education Statistics, NCES guidelines for tabular presentation. Washington, D.C.: National Center for Education Statistics (USOE, HEW), August 1974.]

findings were expected to vary over their defined groups or levels (e.g., the extent to which parental participation in the development of students' IEPs were expected to vary when classified by student age level--3-5, 6-12, 13-15, or 16-21), and (b) the inadequate sample size within each reporting group for the other potential reporting variables.

As stated in Volume II (Chapter 7) of this report, the .05 level was selected for determining the statistical significance of between-group comparisons. Differences that are significant at the .10 level but not at the .05 level (actually, differences of the magnitude of 1.5 to 2 standard errors) are interpreted as being "suggestive" of significant differences.

Chapter 2

What Are the Characteristics of the Students Receiving Special Education in State/Special Facilities And of the Facilities in Which They Are Enrolled?

The target population for the State/Special Facility Substudy included all children in 46 of the 48 contiguous United States (New Mexico and Nevada were excluded) and the District of Columbia who were, as of 1 December 1978:

a) Between the ages of 3-21, inclusive.

b) Enrolled in a state/special facility (as defined in Chapter 1 of this volume).

c) Classified by their place of enrollment as being handicapped and receiving special education and related services.

IEPs and student descriptive information were collected and analyzed only for that portion of the target population that had IEPs.

This chapter focuses primarily on the State/Special Facility Substudy question: What are the characteristics of the students receiving special education in state/special facilities and of the facilities in which they are enrolled? The first section of the chapter describes the student characteristics; the second section presents the facility characteristics. Section III provides a summary of this chapter. Supporting data are included in Appendix B. All reported measures are population (or when noted, subpopulation) estimates based on weighted sample data.

I. STUDENT CHARACTERISTICS

In this section, students in the State/Special Facility Substudy are described in terms of: (a) their general characteristics, including grade level, age, race, and sex; and (b) the nature and severity of their handicap(s).

Based on data obtained from the sample of state/special facilities, the estimated number of handicapped students, ages 3-21, served in state/special facilities in the 46 contiguous states and the District of Columbia is 188,390. Approximately 93 percent of these students had IEPs.

A. Grade Level, Age, Race, and Sex

The following information about the student's age, grade level, race, and sex is based on data obtained from the teachers most familiar with the student's IEP.

1. Grade Level

Table B.1 in Appendix B presents the distribution of students with IEPs by specific grade levels. Table 2.1 summarizes this distribution by grade level groupings. Note that grade level information was not available for 70 percent of the students, presumably because these students were served in ungraded classes. This grade level distribution is considerably different from the Basic Survey distribution (see Chapter 2 of Volume III) in that grade level information was not available for only 14 percent of the Basic Survey students.

Table 2.1

DISTRIBUTION OF STUDENTS BY GRADE LEVEL GROUPINGS

Grade Level	Percent
Pre-K and K	4
1-3	6
4-6	4
7-9	13
10-12	3
Ungraded/Undetermined	70
Total	100

2. Age and Sex

The distribution of handicapped students with IEPs is presented by specific age levels in Table B.2 of Appendix B. This distribution is summarized in Table 2.2 by the four broad age level groupings that were selected to correspond roughly to preschool (ages 3-5), elementary school (ages 6-12), middle/junior high school (ages 13-15), and senior high school (ages 16-21) students. This age distribution differs from the Basic Survey age distribution primarily in the proportion of 6-12 year-old students served. This

Table 2.2

STUDENTS WITH IEPs, BY AGE AND SEX
(In percents)

Age Level	Sex		Total
	Male	Female	
3-5	5	3	8
6-12	26	11	37
13-15	18	10	27[a/]
16-21	19	8	26[a/]
Total	68	32	100

a/ Detail does not add to total because of rounding.

difference of 26 percent (37 percent of the State/Special Facility students as compared to 63 percent of the Basic Survey students--see Chapter 2 of Volume III) is offset by larger percentages in the State/Special Facility distributions in the other age groupings.

3. Race and Sex

Eighty-three percent of the students were white, 13 percent were black, 3 percent were Hispanic, less than 1 percent were American Indian or Alaskan Native, and a little less than 1 percent were Asian or Pacific Islander (see Appendix B Table B.3). This distribution differs slightly from the Basic Survey primarily in that the State/Special Facility sample included a larger proportion of the white, not hispanic category (83 percent as compared to 75 percent in the Basic Survey).

B. Nature and Severity of Handicap

Figure 2.1 shows the distribution of students by type of handicapping condition(s), as specified by the students' teachers. Note that the percents in this figure total more than 100 since some students had two or more handicapping conditions (see Appendix B, Table B.4).

Whereas Figure 2.1 describes the types of handicapping conditions found among the target population, Figure 2.2 describes the target population in

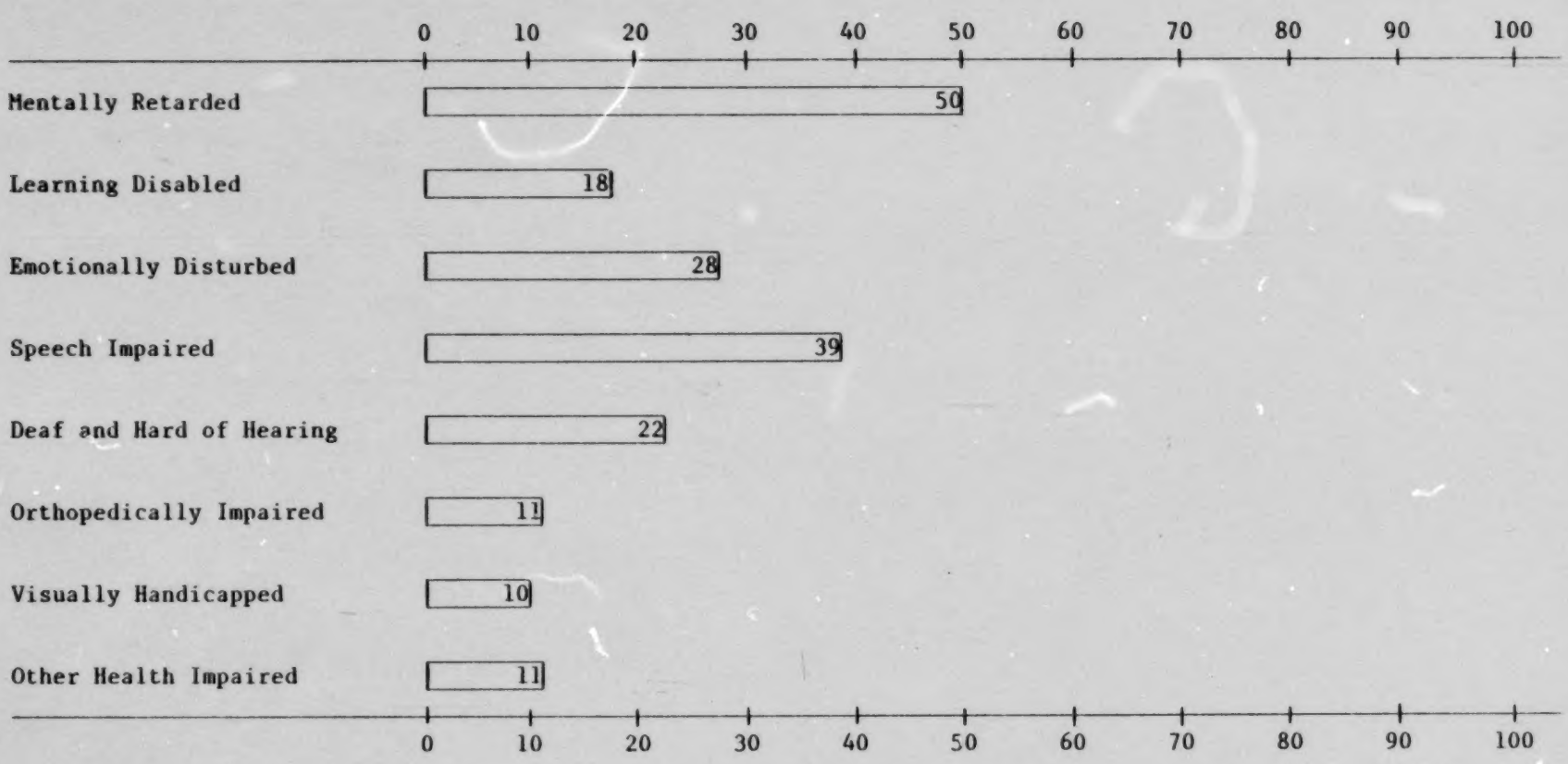


Figure 2.1. Distribution of Students with IEPs, by Nature of Handicapping Condition.[a/]

[a/] Percents total more than 100 because some students have multiple conditions.

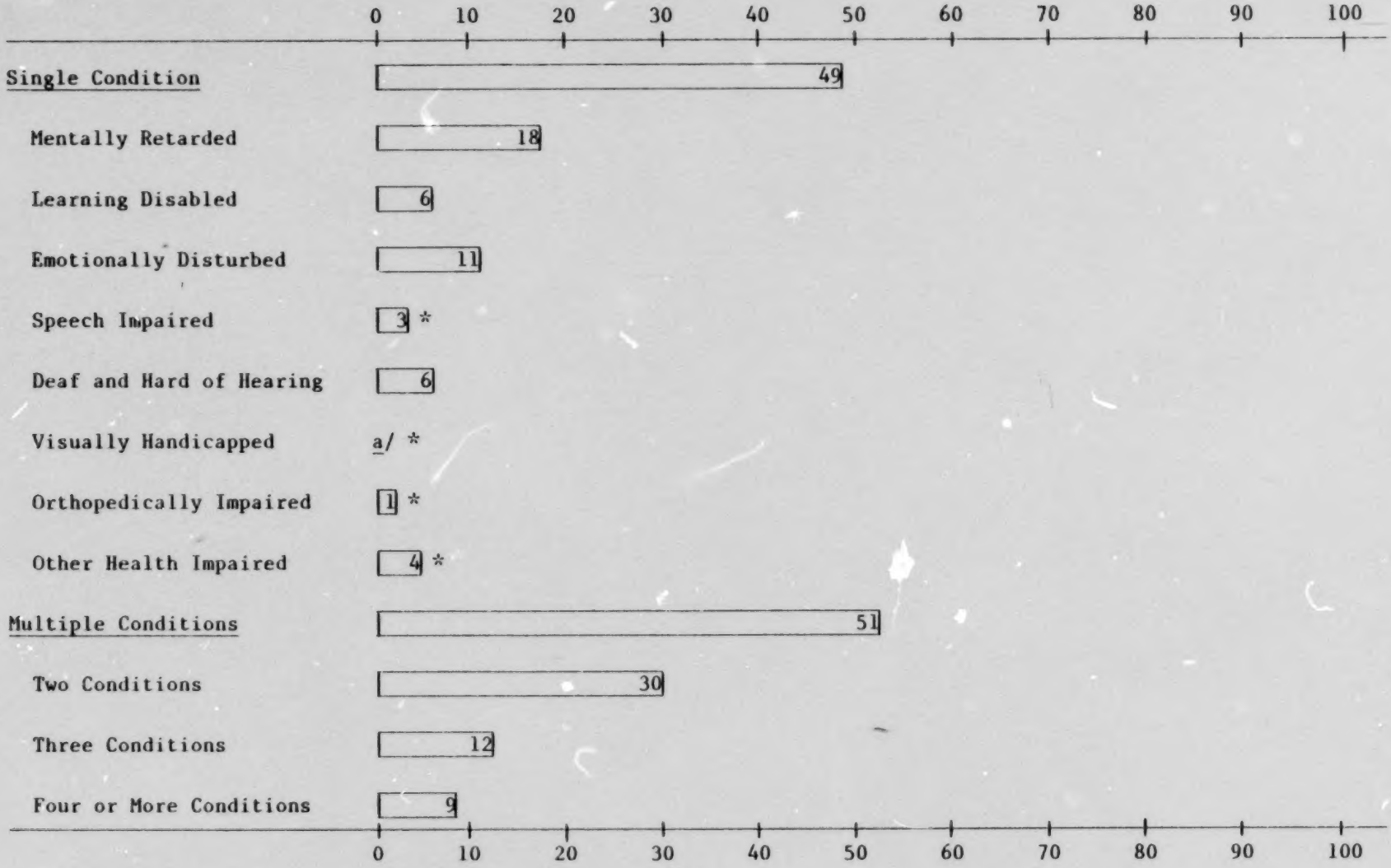

0 10 20 30 40 50 60 70 80 90 100
Single Condition 49
Mentally Retarded 18
Learning Disabled 6
Emotionally Disturbed 11
Speech Impaired 3 *
Deaf and Hard of Hearing 6
Visually Handicapped a/ *
Orthopedically Impaired 1 *
Other Health Impaired 4 *
Multiple Conditions 51
Two Conditions 30
Three Conditions 12
Four or More Conditions 9
0 10 20 30 40 50 60 70 80 90 100

Figure 2.2. Percent of Students, by Nature of Single and Multiple Handicapping Condition.

* Cell has an estimated sample sizes of less than 25.

a/ Less than .5.

terms of whether they had single or multiple handicapping conditions. Figure 2.2 also indicates the nature of handicapping conditions for those students who had only one handicap. As shown in Figure 2.2, 49 percent of the students had a single handicapping condition; the remaining 51 percent had multiple conditions. (See Appendix B, Tables B.5 and B.6.)

As would be expected, the distribution of students by type of handicapping condition is drastically different for the State/Special Facility students than for the Basic Survey students. The major differences are in the following areas:

1) Multiple conditions (51 percent for the State/Special Facility students; 16 percent for the Basic Survey students).
2) Mental retardation (50 percent for the State/Special Facility students; 26 percent for the Basic Survey students).
3) Learning disabled (18 percent for the State/Special Facility students; 41 percent for the Basic Survey students).
4) Emotionally disturbed (28 percent for the State/Special Facility students; 8 percent for the Basic Survey students).
5) Speech impaired (39 percent for the State/Special Facility students; 33 percent for the Basic Survey students).
6) Deaf and hard of hearing (22 percent for the State/Special Facility students; 3 percent for the Basic Survey students).

C. Severity of Handicap

When classified by the severity of their handicap, 48 percent of the students had severe handicaps, 36 percent had moderate handicaps, and the remaining 16 percent had mild handicaps (see Table B.4). It is emphasized that estimates of the severity of students' handicaps were provided by special education teachers who might have used their own frame of reference, a strategy that might have attenuated the reliability of these data. As with handicapping condition, the distribution of student by severity of handicap is drastically different for the State/Special Facility students as compared to the Basic Survey students. Only 13 percent of the Basic Survey students had severe handicaps while 51 percent had mild handicaps.

II. FACILITY CHARACTERISTICS

In this section, the state/special facilities are described in terms of: (a) the type of facility (state supported or state operated); (b) the primary purpose of the facility (e.g., residential treatment, day care); (c) facility size; (d) relationship to SEA (e.g., accreditation, supervision); and (e) laws or legal mandates for which IEPs were written.

A. Type of Facility

Fifteen percent of the state/special facilities were state operated; 32 percent were state supported but not state operated, and the remaining 54 percent were operated/supported primarily by other sources (see Table B.7).

B. Primary Purpose of the Facility

As is shown in Table 2.3, the primary purpose of one-third of the facilities was to provide educational services only, 29 percent provided day care treatment that included educational services, and 18 provided residential treatment that included educational services. (See Table B.8 for standard errors.)

Table 2.3

PRIMARY PURPOSE OF STATE/SPECIAL FACILITIES

Primary Purpose	Percent[a/]
Residential treatment that includes educational services	18
Day care treatment that includes educational services	29
Day care and residential treatment that includes educational services	9
Educational services only	35
Other	8

[a/] Percents do not total 100 due to rounding.

C. Facility Size

Sixty-four percent of the facilities had a total enrollment of 1-49 students, 29 percent had an enrollment of 50-200 students, and 7 percent had an enrollment of 201 or more students.

D. Relationship to SEA

Two-thirds of the state/special facilities were accredited by the SEA, one-half of the facilities were supervised by the SEA, and one-third were a part of, or supervised by, a local public school system. (See Table B.9.)

E. Laws or Legal Mandates for Which IEPs Were Written

Seventy-one percent of the state/special facilities prepared IEPs for more than 75 percent of their students to meet the requirements of P.L. 94-142. Thirty-eight percent prepared IEPs for more than 75 percent of their students to meet the requirements of P.L. 89-313. Eighteen percent prepared IEPs for more than 75 percent of their students to meet the requirements of other laws or mandates. Since this equals considerably more than 100 percent, it is clear that many facilities prepared IEPs with the intention that the IEPs meet the requirements of more than one law or mandate. (See Table B.10 for additional information.)

III. SUMMARY

This chapter provided information regarding the characteristics of students receiving special education in state/special facilities and of the facilities in which they were enrolled.

A. Student Characteristics

Most of the handicapped students in the state/special facilities apparently received their special education in ungraded classes. This compared to 14 percent of the Basic Survey students who apparently were served in ungraded classes.

Students in state/special facilities were fairly evenly distributed across the 6-12, 13-15, and 16-21 age ranges, with a smaller proportion in the 3-5 age range. This differed from the Basic Survey in that two-thirds of the Basic Survey students were in the 6-12 age range.

Eighty-three percent of the State/Special Facility students were white, not hispanic (as compared to 75 percent in the Basic Survey). Thirteen percent were black. Fifty-one percent of the State/Special Facility students (as compared to 16 percent in the Basic Survey) had multiple handicaps. About half of the students was mental retardation; 18 percent were learning disabled; 28 percent were emotionally disturbed; 39 percent were speech impaired; and 22 percent were deaf or hard of hearing.

Fifty-eight percent of the State/Special Facility students (as compared with 13 percent in the Basic Survey) had severe handicaps, 36 percent had moderate handicaps, and 16 percent (as compared with 51 percent in the Basic Survey) had mild handicaps.

B. Facility Characteristics

About half of the state/special facilities were state operated or state supported. About one-third provided educational services only; almost half provided day care or residential treatment that included educational services. Most of the facilities (64 percent) had a total enrollment of less than 50 students. Only seven percent had a total enrollment of 201 or more.

Two-thirds of the facilities were accredited by the SEA; one-half were supervised by the SEA; one-third were a part of, or supervised by, a public school system.

Most (71 percent) of the facilities prepared individualized education programs primarily to meet the requirements of P.L. 94-142. Many facilities prepared IEPs with the intention of also meeting the requirements of other laws or mandates (e.g., P.L. 89-313).

Chapter 3

What Do State/Special Facility IEPs Look Like?

This chapter presents findings about several characteristics of IEPs in answer to the study question: What do IEPs look like? IEPs are described in terms of their length or the number of pages they contain, whether or not they are legible and easy to read, their formats, and whether or not they consist of single or multiple documents. A brief summary is presented at the end of the chapter.

Detailed descriptive statistics and associated standard errors for the results summarized in this chapter are presented in Appendix C.

I. NUMBER OF PAGES

A. State/Special Facility Population Compared with Basic Survey Population

In determining the number of pages in each IEP, the back of the page was counted as a separate page when it was used, and pages from a referenced standard curriculum or referenced instructional material were not included in the page count. The average (mean) number of pages in a State/Special Facility IEP was 8, with a range of 1 to 158 and a standard deviation of 11. Four percent consisted of one page, and 17 percent consisted of 2 to 3 pages. Forty-six percent consisted of 6 or more pages. The median number of pages was 5. The median may be a better indicator of central tendency because there were a few IEPs with many pages. (See Appendix C, Table C.1.)

The average number of pages in an IEP in the State/Special Facility population was greater than that in the Basic Survey population: 8 pages versus 5. Six percent of the IEPs in the Basic Survey population consisted of 1 page, and about 40 percent consisted of 2 to 3 pages. Only 28 percent consisted of 6 or more pages.

IEPs in the State/Special Facility population were significantly longer than those in regular schools. However, there was no significant difference in the length of the IEPs prepared for students in state/special facilities when compared to those of student in special schools.

B. Variation by State/Special Facility Subpopulations

The number of pages in IEPs was analyzed for student subpopulations defined by reporting groups within two reporting variables: (1) student age levels; and (2) severity of student handicap.

1. Student Age Levels

Comparisons of the average lengths of IEPs for four student age levels (3-5, 6-12, 13-15, and 16-21) led to the conclusion that there are no statistically significant differences between these groups. This is consistent with results in the Basic Survey. (See Appendix C, Table C.2.)

2. Severity of Student Handicap

When students were classified by the severity of their handicaps, there was no significant difference between these groups in the page-length of their IEPs. This is consistent with results in the Basic Survey. (See Appendix C, Table C.3.)

II. LEGIBILITY AND EASE OF READING

For this analysis, each IEP was classified into one of three categories: (a) typed; (b) handwritten and easy to read; and (c) handwritten and difficult to read. An IEP in which at least one-fourth of the entered information was difficult to read was placed in the third category, even if part of it was typed. That is, at least three-fourths of the document had to be easy to read to be classified in either the first or second category.

The legibility classification did not pertain to the quality of the photocopying or to the content and style of the writing. Rather it was a judgement of the ease with which the document could be read. For IEPs included in the first two categories ("a" and "b" above), a final delineation was dependent upon the portion of the IEP that was typed. If 50 percent or more of the entered information was typed, it was placed in the "typed" category; otherwise, it was considered to be handwritten. Examples illustrating the distinction between "easy to read" and "difficult to read" are provided in Appendix P of Volume II.

As in the Basic Survey population, virtually all (99 percent) of the IEPs in the State/Special Facility population were reasonably easy to read. In the State/Special Facility population, 42 percent were typed, and 57 percent were handwritten and easy to read. In the Basic Survey population, the balance

between typed and handwritten IEPs was different, as 17 percent were typed and 81 percent were handwritten.

A comparison was made of the page lengths of the State/Special Facility IEPs in each of the three "legibility" categories (typed and legible, handwritten but easy to read, and handwritten and difficult to read). As in the Basic Survey population, this comparison indicated no significant relationship between the length and legibility of IEPs. (See Appendix C, Table C.4.)

III. FORMATS

Three basic characteristics of IEP formats are described in this section: (a) the types of information headings the IEPs contain; (b) whether or not the amount of space provided by the IEP format limits or restricts the number of annual goals or short-term objectives to be included; and (c) whether or not the format permits parental approval of the entire IEP.

A. Types of Information Headings: State/Special Facility Population Compared with Basic Survey Population

An IEP was coded as having a heading for a particular type of information if and only if it contained a heading that clearly was intended to collect that particular type of information. The extent to which information actually was entered in the spaces provided for the headings is discussed in Chapter 4.

1. Mandated Information Areas

As reflected in Table 3.1, headings for only 3 of the 11 mandated information areas were included in at least 87 percent of the IEPs; i.e., statement of annual goals (98 percent), short-term objectives (87 percent), and statement of the present level of educational performance (88 percent). Since it is reasonable to assume that the presence of an appropriate heading in an IEP would better insure that specific information is entered, the percent of IEPs with related headings can be considered satisfactory only for "statement of annual goals." The percent is lower than expected for all of the other mandated areas, with four possible exceptions. One of the four exceptions, "assurances of at least an annual evaluation of short-term objectives," was not expected to have a heading because such assurances are usually reflected in evaluation schedules. The other three exceptions--evaluation criteria (61 percent), procedures (38 percent), and schedules (29 percent) for

Table 3.1

MANDATED INFORMATION AREAS FOR WHICH HEADINGS ARE SPECIFIED IN STATE/SPECIAL FACILITY IEPs

Information Headings[a/]	Percent IEPs With Heading
Statement of annual goals.	98
Short-term objectives.	87
Statement of the present level of educational performance.	88
Projected date for initiation of specific services.	76
Statement of specific educational services to be provided.	67
Anticipated duration of specific services.	72
Statement of the extent to which child will be able to participate in regular educational programs.	55
Proposed evaluation criteria.	61
Proposed evaluation procedures.	38
Proposed schedules for determining whether instructional objectives are being met.	29

a/ A heading for "assurances of at least an annual evaluation" was not expected to be found in IEPs and therefore is not included.

short-term objectives--are typically found within objectives that are stated in behavioral or measurable terms. As a result, one could not expect to find these three headings on IEPs prepared in schools or facilities that emphasize the specification of objectives in measurable terms.

Overall, these results are quite consistent with those of the Basic Survey population, but there were some differences for certain individual areas. When the IEPs of students in the State/Special Facility and Basic Survey populations were compared, a significantly greater percentage of IEPs prepared in state/special facilities had a heading associated with a statement of annual goals (98 percent versus 94 percent). A significantly greater percent of IEPs prepared for students in the Basic Survey population had headings associated with the extent to which the child would be able to participate in regular educational programs (77 percent versus 55 percent), and

results were suggestive of greater percents of headings in the Basic Survey population for the projected date for the initiation of specific services (89 versus 76 percent) and for a statement of specific educational services to be provided (81 versus 67 percent). There was no tendency for the presence of headings in the State/Special Facility population to be more similar to special schools or to regular schools in the Basic Survey population. (See Appendix C, Table C.5.)

2. Nonmandated Information Areas

For reader convenience, findings about headings for nonmandated information have been placed into seven categories for presentation in Table 3.2: (a) basic student characteristics; (b) assessment-related data; (c) placement-related data; (d) instrument-related data; (e) process of developing, approving, and reviewing the IEP; (f) proposed program of special services; and (g) other. The "other" category includes headings that occurred too infrequently (i.e., in less than 2 percent of the IEPs for the combined Basic Survey and State/Special Facility populations) to be identified and reported separately.

Information headings for nonmandated items were included more often in IEPs prepared for students in the Basic Survey population than in IEPs prepared for students in the State/Special Facility population. Of the 29 information headings listed in Table 3.2, 12 headings appeared in a significantly greater percent of IEPs in the Basic Survey population, while only 1 appeared in a greater percent of IEPs in the State/Special Facility population ("other"). There was no tendency for the presence of headings in the State/Special Facility population to be more similar to special schools or to regular schools in the Basic Survey population. (See Appendix C, Table C.6.)

No analysis was conducted for subpopulations within the State/Special Facility Substudy.

B. Restrictive Formats

If the IEP format provided only a small amount of space for goals and objectives, or if there were no headings for goals and/or objectives, the format was coded as limiting or restrictive. (For this analysis, the number of goals entered in the completed IEP was not considered as limiting to the number of objectives, and vice versa.) Also, a determination as to whether or not an IEP format limited the number of annual goals or objectives was based

Table 3.2

NONMANDATED INFORMATION AREAS FOR WHICH HEADINGS ARE SPECIFIED IN STATE/SPECIAL FACILITY IEPs COMPARED WITH BASIC SURVEY RESULTS

Information Headings	Percent State Facility IEPs With Heading	Percent Basic Survey IEPs when Difference is Significant
A. BASIC STUDENT CHARACTERISTICS		
Student's age or birthdate.	82	
Student's grade level.	34	59
Nature of student's handicap.	32	
Student's sex.	1	13
Student's race.	1	7
B. ASSESSMENT-RELATED		
Assessment data to support present level of performance.	18	36
Date of the assessment of present level of performance.	11	23
Student's strengths.	29	
Physical education needs.	14	
C. PLACEMENT-RELATED		
Placement recommendation.	55	
Rationale for placement or services.	20	
D. INSTRUCTION-RELATED		
Student's primary language.	6	
Student's school attendance record.	1	3[b]
Student's special interests.	0	
E. PROCESS OF IEP DEVELOPMENT, APPROVAL, AND REVIEW		
Participants in the IEP process.	74	87
Date of preparation of IEP.	80	
Titles of individuals who approved the IEP.	68	
Parental approval.	47	74
Signature of individuals who approved the IEP.	36	61
Proposed IEP review date.	34	49[b]
Results of parental notification.	1	10
Actual IEP review date.	7	
Results of IEP review.	6	
Participants in IEP review.	2	7
F. PROPOSED PROGRAM OF SPECIAL SERVICES		
Personnel responsible for services.	57	
Recommended instructional materials, resources, strategies, or techniques.	66	
Date short-term objectives met.	21	
Priority listing of annual goals.	11	
G. OTHER		
Other.[a]	69	38

[a] IEPs with at least one "other" heading. Includes such headings as: date of referral, provisions for mainstreaming, or last grade obtained.

[b] Results were suggestive of a statistically significant difference.

on the question: "Would the use of additional page(s) of goals and/or objectives require the re-completion of a major segment of information in order to avoid leaving essential portions of the page blank?" In other words, if the IEP was designed so that a person who wished to append additional pages of goals or objectives to the IEP would have to repeat some information (such as student's name, age, grade, etc.) on each page, the format was considered limiting: it would take more time than necessary to add pages of goals and objectives, and the additional effort required might affect the decision of whether to be exhaustive in entering goals and/or objectives.

1. State/Special Facility Population Compared with Basic Survey Population

Forty-two percent of the IEPs for students in the State/Special Facility population limited the number of annual goals through format design, and 21 percent limited the number of short-term objectives. (See Appendix C, Table C.7.)

In terms of annual goals, IEP formats for the State/Special Facility population were significantly less restrictive than for the Basic Survey population (65 percent of IEPs restrictive). They were significantly less restrictive than those for the regular school students (65 percent restrictive), and the results suggested they might be less restrictive than those for special school students (61 percent restrictive).

In terms of short-term objectives, IEP formats for the State/Special Facility students were significantly less restrictive than those for the Basic Survey population (39 percent of IEPs restrictive). However, while they were less restrictive than those for regular school students (39 percent restrictive), they were not different from those prepared for students in special schools (28 percent restrictive).

Evidence of the effects of the restrictive nature of IEP formats was obtained by an analysis of the numbers of goals and objectives contained in the two sets of IEPs coded as being restrictive or non-restrictive. When IEPs were classified by whether or not their formats restrict the number of goal statements, there was a mean difference of 1.1 goals between the two groups. This difference, though not statistically significant, suggests that IEPs with restrictive formats contain fewer goals. However, when a similar analysis was conducted for objectives, a significantly larger average number of objectives was found in IEPs with non-restrictive formats for objectives; i.e., there was

a mean difference of 8.9 objectives between the two groups. (See Volume III, Chapter 3, for further details of this analysis.) These results are not to be interpreted as implying that IEPs with "more" goals or objectives are necessarily "better" IEPs; the number of goals/objectives should be dictated solely by the student needs. However, a restrictive format, while it may keep an IEP from being unnecessarily long, also might prevent the entry of important information.

2. Variation by Student Age Levels

With respect to formats that limit the number of annual goals and short-term objectives, there were no statistically significant differences across the four student age levels (3-5, 6-12, 13-15, and 16-21). These results are similar to those in the Basic Survey. (See Appendix C, Table C.8.)

C. Format as Related to Parental Approval: State/Special Facility Population Compared with Basic Survey Population

Table 3.3 shows IEP formats as related to parental approval, and compares the categories for the State/Special Facility and Basic Survey populations. (See Appendix C, Table C.9.) While the format of about half (49 percent) of the IEPs for students in the State/Special Facility population was such that the parental approval would be for the entire IEP, the format of a substantial number was such that approval appeared to be intended for only a portion of the IEP. It should be noted that the issue here is the IEP format as related to the space for a parental approval signature. Whether or not the parent actually signed the IEP is discussed elsewhere.

In three percent of the State/Special Facility IEPs, the space for parental approval was located so as to indicate that approval would be for the annual goals but not for the short-term objectives. The short-term objectives in these IEPs apparently were written later, and the parent did not necessarily approve these objectives, at least not by signing the IEP itself.

In another one percent of the IEPs, the parental approval would have been for part but not all of the short-term objectives. Apparently, for these IEPs, part of the short-term objectives were included in the original IEP, and additional objectives were added later. The parent would not have approved these added objectives, at least not by signing the IEP.

In six percent of the IEPs, the parental approval would have been for services to be provided (usually a statement of placement in a particular

Table 3.3

IEP FORMAT AS RELATED TO PARENTAL APPROVAL FOR STATE/ SPECIAL FACILITY AND BASIC SURVEY POPULATIONS

Format Classifications	Percent of IEPs	
	Basic Survey	State Facility
Approval (or disapproval) would be for the entire IEP	48	49
Approval (or disapproval) would be for annual goals but not for short-term objectives	12	3[a/]
Approval (or disapproval) would be for part but not all of the short-term objectives	5	1[a/]
Approval (or disapproval) would be for services to be provided but not for annual goals or short-term objectives	11	6[a/]
Approval (or disapproval) would be for some portion of the IEP, but cannot determine what would be approved	2	2
No place for approval or disapproval is provided	22	38[a/]
Total	100	100[b/]

[a/] Difference between State/Special Facility population and Basic Survey population is statistically significant.

[b/] Detail does not add to total because of rounding.

setting), but not for the annual goals or the short-term objectives, which apparently were prepared after placement.

In two percent of the IEPs, it was not clear from the format what would be approved by a parental signature. For example, the space for approval might be on a separate form attached to a multiple page IEP that listed placement on one page, goals on another page, and objectives on still another page.

In the remaining 38 percent of the IEPs no place was provided for parental approval or disapproval. It should be noted that Table 3.2 shows that there

were no headings for parental approval in 53 percent of the IEPs. This difference occurs because the specifications for a heading were more restrictive in the data source for Table 3.2 than in the data source for the formats discussed here. (See Volume II, Appendix P for specifications.)

As can be seen in Table 3.3, significantly more IEPs for students in the State/Special Facility population than in the Basic Survey population had no place in their formats for parental approval. Approximately half of the IEPs in both populations had a formatted location for approval of the entire IEP, but a greater percent of IEPs in the Basic Survey population had formatted locations for approval of portions of the IEPs.

No analysis was conducted for subpopulations within the State/Special Facility population.

IV. MULTIPLE DOCUMENTS

As noted in Volume III, some of the IEPs consisted of more than one document covering the same time frame. Two types of additional separate documents were identified: (a) separate IEPs prepared by different teachers or service sources, e.g., the mathematics teacher prepared an IEP related to mathematics and the English teacher prepared one related to English (such documents were not considered to be separate if only pages of goals and/or objectives were prepared separately); and (b) separate placement and implementation documents, one prepared for the sole purpose of recording assessment and placement data (but with no plans for a program), and the second prepared solely to document the instructional program.

Multiple IEP documents were prepared for only two percent of the State/Special Facility students, and all of these were the type consisting of separate documents from different teachers or service sources. These results were not significantly different from those for the Basic Survey population, in which multiple documents were prepared for about three percent of the students. However, in the Basic Survey population, the multiple documents were divided about evenly between the two types.

Since virtually all of the IEPs consisted of a single document, this property was not analyzed for subpopulations.

V. SUMMARY

This chapter addressed the question: What do IEPs look like? In answer to this question, IEPs were described in terms of such basic characteristics as length, legibility, format, and whether or not they were single or multiple documents.

IEPs prepared for students enrolled in state/special facilities had a mean length of eight pages and a median length of five pages. The mean length of eight pages was significantly greater than the mean length of five pages for IEPs of students enrolled in the Basic Survey population. They were longer than those prepared for students in regular schools, but there was no significant difference in the lengths of the IEPs of students in state/special facilities when compared to those of students in special schools. There were no differences in lengths of IEPs for the State/Special Facility subpopulations defined by student age and severity of handicap.

As in the Basic Survey population, practically all IEPs (99 percent) were reasonably easy to read. For the State/Special Facility population, 42 percent of the IEPs were typed as compared to 17 percent in the Basic Survey population. Fifty-seven percent of the State/Special Facility IEPs were handwritten and easy to read, compared with 81 percent in the Basic Survey population.

State/Special Facility IEP formats contained headings for a wide variety of information areas, many of which are not mandated by P.L. 94-142. However, under the assumption that the inclusion of an appropriate heading will improve the possibility that desired information will in fact be included, the percent of IEPs that contained headings for the mandated information areas was lower than expected; i.e., headings for only 3 of the 11 mandated areas were found in at least 87 percent of the IEPs. Overall, this was reasonably consistent with results of the Basic Survey populaton, but there were some differences for individual areas. There was no tendency for the presence of headings in the State/Special Facility population to be more similar to special schools or to regular schools in the Basic Survey population.

Overall, information headings for nonmandated areas were included more often in IEPs prepared for students in the Basic Survey population than in IEPs prepared for students in the State/Special Facility population.

The formats of about 40 percent of the State/Special Facility IEPs were restrictive or limiting with regard to the number of annual goals that could

be listed, while about 20 percent of the IEPs had a similar restriction for short-term objectives. In terms of annual goals, IEP formats for the State/Special Facility population were significantly less restrictive than for the Basic Survey population. They were significantly less restrictive than those for students in regular schools, and results suggested they might be less restrictive than those for special school students. In terms of short-term objectives, IEP formats for the State/Special Facility students were significantly less restrictive than those for the Basic Survey population. However, while they were less restrictive than those for regular school students, they were not less restrictive than those prepared for students in special schools.

As in the Basic Survey population, the formats of about half of the State/Special Facility IEPs were such that parental approval was intended for the entire IEP. However, nearly 40 percent of the IEPs for the State/Special Facility population did not have any formatted location for parental approval. This was significantly greater than for the Basic Survey population.

As in the Basic Survey population, virtually all (98 percent) the State/Special Facility IEPs consisted of a single document. The remaining two percent of the State/Special Facility IEPs consisted of additional separate documents that were prepared by different teachers or service sources.

Chapter 4

What Kinds of Information do State/Special Facility IEPs Contain and How is this Information Presented?

This chapter presents a discussion of the kinds of information contained in IEPs and the manner in which this information was presented. For purposes of this discussion, the contents of IEPs have been separated into two broad categories: (a) the eleven information areas mandated by Section 602 of P.L. 94-142, and (b) information areas that are not mandated by P.L. 94-142.

Detailed descriptive statistics and associated standard errors for the population estimates reported in this chapter are referenced herein and are presented in Appendix D.

I. THE EXTENT TO WHICH MANDATED INFORMATION WAS CONTAINED IN STATE/SPECIAL FACILITY IEPs AND HOW THIS INFORMATION WAS PRESENTED, AS COMPARED WITH SIMILAR DATA FROM THE BASIC SURVEY POPULATION

One of the criteria for describing and evaluating IEPs must be the extent to which the documents contain the information mandated by P.L. 94-142. This information must be included in an IEP to comply with regulations regarding the provision of an education program that meets the needs of the individual handicapped student. This section first provides data on the extent to which mandated information was presented in IEPs and then provides data on how this mandated information and other closely related information were presented.

A. Extent to Which Mandated Information was Provided

As is portrayed in Figure 4.1, a very high percentage of State/Special Facility IEPs contained a majority of the information mandated by the Act. (See Table D.1 for exact numbers and standard errors). In fact, 7 of the 11 types of required information were included in more than 90 percent of the IEPs. However, it should be pointed out that these data represent a generous interpretation of what constitutes inclusion of the items of information. (See Appendix D, pages D.1 and D.2, for the coding criteria by which the data were derived.)

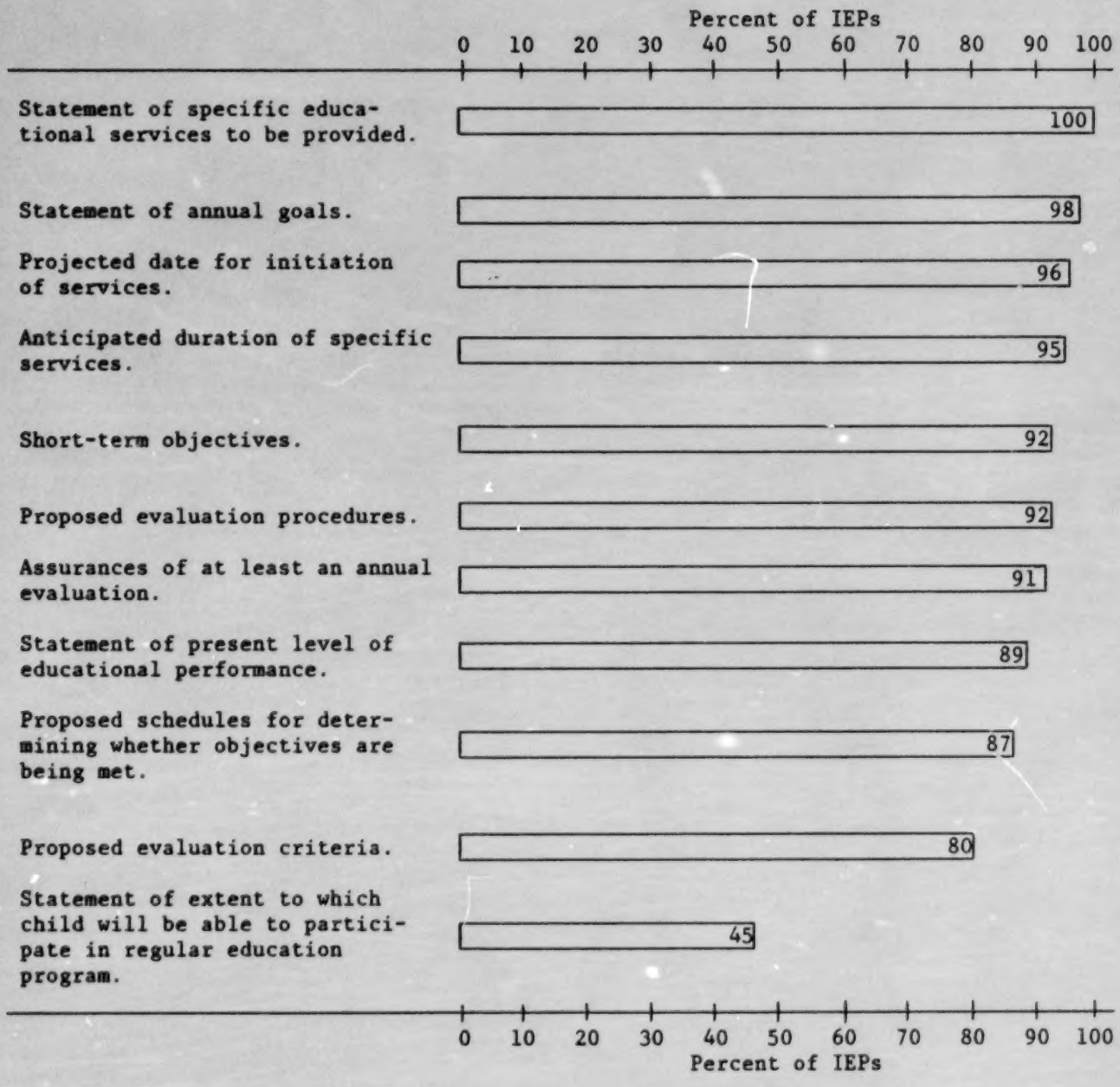

Percent of IEPs
0 10 20 30 40 50 60 70 80 90 100
Statement of specific educational services to be provided.
100
Statement of annual goals.
98
Projected date for initiation of services.
96
Anticipated duration of specific services.
95
Short-term objectives.
92
Proposed evaluation procedures.
92
Assurances of at least an annual evaluation.
91
Statement of present level of educational performance.
89
Proposed schedules for determining whether objectives are being met.
87
Proposed evaluation criteria.
80
Statement of extent to which child will be able to participate in regular education program.
45
0 10 20 30 40 50 60 70 80 90 100
Percent of IEPs

Figure 4.1. Percent of State/Special Facility IEPs with Information Mandated by P.L. 94-142.

Only two types of mandated information were included so infrequently as to suggest possible problem areas: (1) information as to the extent of participation in regular education programs, and (2) proposed evaluation criteria.

Only 45 percent of the State/Special Facility IEPs contained a statement of the extent to which the handicapped student will be able to participate in the regular educational program. This percentage is significantly lower than for the other mandated information items. It should be noted, however, that the term "regular education program" is not a particularly meaningful statement for students enrolled in state/special facilities. For many students, it may not have been considered necessary (from a practical point of view) to make a statement concerning participation in a regular education program.

Regarding the second possible problem area, 80 percent of all State/Special Facility IEPs contained a statement of appropriate evaluation criteria. Given the fact that more IEPs demonstrate an intent to evaluate (91 percent contain some assurance of at least an annual evaluation), the difficulty apparently is related to the lack of headings in IEP formats for evaluation criteria or, more likely, to a failure to include specified standards as part of the short-term objectives statements. Although only about 61 percent of the IEPs had a specific heading for this information area (see Table 3.1, Chapter 3), information was entered under these headings in 93 percent of the IEPs that had such a heading.

For the mandated information items included in less than 90 percent of the IEPs in the State/Special Facility or Basic Survey populations, there were statistically significant differences for only two items in the percent of IEPs including the information. Information regarding the extent of participation in regular education programs was included in 62 percent of the IEPs in the Basic Survey population and in 45 percent of the State/Special Facility IEPs. This difference likely results from "regular education" being a more meaningful term for the Basic Survey population, especially for students in regular schools. Regarding proposed evauation criteria, the information was included in 80 percent of the State/Special Facility IEPs and 65 percent of the Basic Survey IEPs.

Figure 4.2 presents the accumulated percentage of IEPs that contained either all or some of the mandated information items. Nearly one-third (31 percent) of the State/Special Facility IEPs contained all the mandated information, 74 percent included information in at least 10 of the 11 mandated

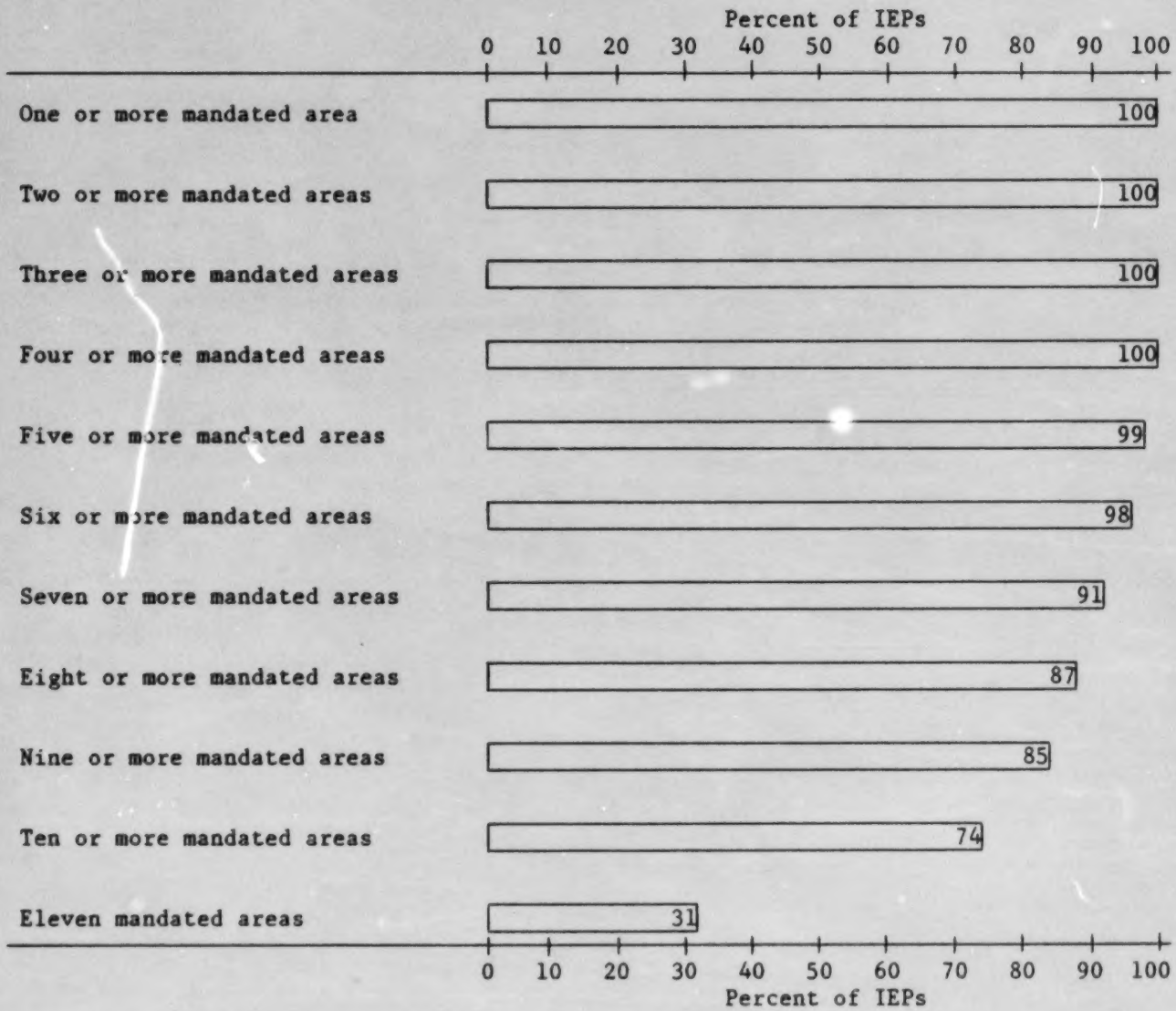


Figure 4.2. Cumulative Percentages of State/Special Facility IEPs by Number of Mandated Information Areas Contained in IEP.

areas, 85 percent included information in at least 9 of the 11 areas, and 87 percent contained information in 8 or more of the 11 areas. Over 90 percent of the State/Special Facility IEPs contained information in 7 or more of the 11 areas. (See Appendix D, Table D.2 for associated standard errors.)

These findings, which are similar to those in the Basic Survey population, are somewhat disappointing, especially the finding that over two-thirds of the IEPs did not meet all 11 mandated requirements (only 31 percent contained all necessary information). Since a high percentage of IEPs contained a variety of nonmandated information (see Section II below), it does not seem appropriate to conclude that too many information areas are mandated.

B. How Mandated and Related Information were Presented

This subsection discusses how mandated and related information was presented in State/Special Facility IEPs and provides comparisons with Basic Survey IEPs. The means of presentation is to discuss separately each of the 11 items of information mandated by the Act to be included in IEPs.

One important factor related to how information is presented generally applies to all 11 items and is emphasized here rather than in the following discussions of individual items. As was discussed in considerable detail in Chapter 4 of Volume III, there was a strong relationship between the inclusion in IEPs of headings that requested certain information and the inclusion of that information in the IEPs. There is clear evidence that this relationship also was true of State/Special Facility IEPs. By using calculations such as those described in Appendix D of Volume III, and using data provided in Table D.4 and other appropriate appendix tables in this volume, it is clear that mandated information was provided more often in the State/Special Facility IEPs that included headings requesting the information than in IEPs that did not include the headings.

There was considerable similarity between State/Special Facility IEPs and Basic Survey IEPs regarding headings for mandated items (See Appendix D, Table D.4.) Two exceptions were (1) a heading for the statement of specific educational services to be provided (included in 67 percent of State/Special Facility IEPs and 81 percent of Basic Survey IEPs), and (2) a heading for extent of participation in regular program (included in 55 percent of State/Special Facility IEPs and 77 percent of Basic Survey IEPs). No other differences are statistically significant (See Appendix D, Table D.4.)

1. Statement of Present Level of Educational Performance

As was shown in Figure 4.1, 89 percent of the State/Special Facility IEPs contained information regarding the handicapped student's present level of educational performance. However, there was a wide range of levels of completeness of this type of data. One IEP might state simply that "the student is behind in reading;" another might provide complete summary data regarding performance in a wide range of academic and functional areas plus data (e.g., test data) to support the level-of-performance information.

In attempting to describe the differences in present-level-of-performance information in IEPs, the following four questions were addressed:

a) What proportion of IEPs contained supporting data (e.g., test results) to substantiate the present-level-of-performance information?

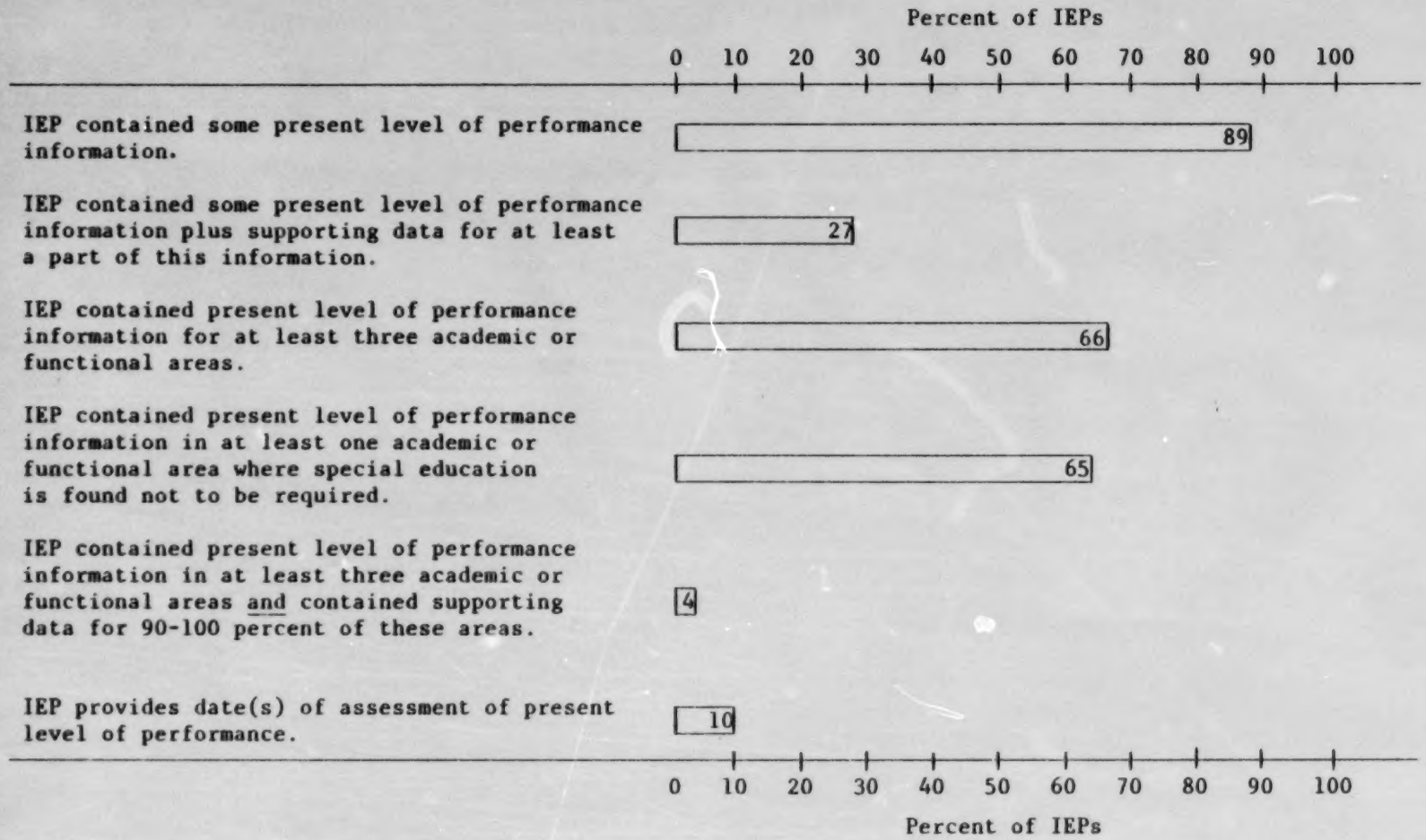
b) What proportion of IEPs contained present-level-of-performance information for three or more academic or functional areas (e.g., reading or oral or written English, mathematics, social adaptation, speech)?

c) What proportion of IEPs contained present-level-of-performance information for academic or functional areas for which special education was found not to be needed?

d) What proportion of IEPs contained the date(s) of the assessment of present level of performance?

The rationale for these questions was discussed in Volume III, Chapter 4. Figure 4.3 presents results which respond to the questions.

It must be emphasized that, in many of the IEPs containing some present-level-of-performance information, only a bare minimum of such information was presented, and that it often was presented in a very general and vague manner. On the other hand, 27 percent of the IEPs not only contained at least some present-level-of-performance information, but also contained at least some supporting data. Sixty-six percent contained present-level-of-functioning data for at least three academic or functional areas, while 65 percent listed information for at least one area where special education was found not to be required. Four percent of the IEPs not only contained present level of performance information for at least three academic or functional areas, but also contained supporting data for 90-100 percent of these areas. These latter IEPs can be considered exemplary documents regarding their presentation of this type of information. Only a small proportion of IEPs (10 percent)


Percent of IEPs
0 10 20 30 40 50 60 70 80 90 100
IEP contained some present level of performance information.
89
IEP contained some present level of performance information plus supporting data for at least a part of this information.
27
IEP contained present level of performance information for at least three academic or functional areas.
66
IEP contained present level of performance information in at least one academic or functional area where special education is found not to be required.
65
IEP contained present level of performance information in at least three academic or functional areas and contained supporting data for 90-100 percent of these areas.
4
IEP provides date(s) of assessment of present level of performance.
10
0 10 20 30 40 50 60 70 80 90 100
Percent of IEPs

4.7

Figure 4.3. How Present Level of Educational Performance Information was Presented in State/Special Facility IEPs.

contained the date(s) that the assessment of present level of performance took place.

The percent of IEPs containing some present-level-of-functioning information was about 90 percent for both the State/Special Facility and Basic Survey populations. Also, there was no significant difference in the percent of IEPs containing this type of information in at least one academic area for which special education was found out to be required. However, a greater percent of IEPs prepared for students in the Basic Survey population than in the State/Special Facility population contained the following: some present-level-of-performance information plus supporting data for at least part of it (51 versus 27 percent); some present-level-of-performance information in at least three areas and supporting data for 90-100 percent of these areas (11 versus 4 percent); and date(s) of assessment of present level of performance (20 versus 10 percent). A greater percent of State/Special Facility IEPs than Basic Survey IEPs contained information about the present level of performance for at least three academic/functional areas (66 versus 53 percent). (See Appendix D, Table D.15.)

For additional pertinent information, see Appendix D, Tables D.4 and D.5.

2. Annual Goals

The following discussion of how annual goals were presented in IEPs includes information regarding (a) the average number of and range of annual goals, and (b) the extent to which goals were presented in order of priority.

The mean number of annual goals per State/Special Facility IEP (for the 98 percent of IEPs that contain annual goals) was 11, with a standard deviation of 13. The number of goals (for all of the IEPs) ranged from 0-309 (see Appendix Table D.6). Nine percent of the IEPs contained more than 25 goals. Fifty percent of the IEPs contained fewer than 6.5 goals. This latter estimate (the median) is a better indicator of central tendency because there were a few IEPs with many goals.

IEPs developed for students in state/special facilities contained more goals than did those in the Basic Survey population, a mean of 11 compared to 6 and a median of 6.5 compared to 3.2. However, while State/Special Facility IEPs contained more goals than those for students in regular schools, they did not contain more goals than those for students in special schools. (See Appendix D, Table D.6.)

Another factor related to how annual goals were presented in IEPs is that in addition to merely listing annual goals, some IEPs either listed the goals in order of priority or selected certain listed goals for priority status. Eight percent of the State/Special Facility IEPs included this additional refinement. This percent was not significantly different from the percent of Basic Survey IEPs with a priority listing (see Appendix D, Table D.5.)

3. Short-Term Objectives

The following discussion of how short-term objectives were presented in IEPs focuses on (a) the number and range of objectives included in IEPs, (b) the time frames for meeting the objectives, and (c) the extent to which objectives were presented in measurable terms.

The average number of short-term objectives per State/Special Facility IEP (in the 92 percent of IEPs that contained short-term objectives) was 58, with a standard deviation of 127. The range of objectives (for all of the State/Special Facility IEPs) was 0-1,018. Because a few IEPs contained a very large number of objectives (about 8 percent contained more than 100 objectives), there was a considerable discrepancy between the mean (58 objectives) and the median number of objectives (25), and the median is a better measure of the central tendency. (See Appendix D, Table D.7.) In general, these measures suggest a reasonable balance between the number of goals and objectives per IEP, with around four to five objectives (considering both the median and mean) for every goal.

IEPs developed for students in state/special facilities contained more objectives than did those developed for students in the Basic Survey population, a mean of 58 compared to 26 and a median of 25 compared to 11. The mean number of objectives in State/Special Facility IEPs was greater than that in either regular school or special school IEPs. (See Appendix D, Table D.7.)

Based on information in State/Special Facility IEPs, approximately two-thirds (66 percent) of the short-term objectives were to be worked on throughout a full year, while 28 percent were to be accomplished in less than a year. A time frame for the remaining six percent could not be determined from the IEPs (see Appendix D, Table D.8). There were no differences in these results and those for the Basic Survey population.

In one-third of the State/Special Facility IEPs, not one of the short-term objectives was written in measurable terms; i.e., the IEP failed to contain a precise statement of how any of the objective should be evaluated.

Forty-four percent of all the short-term objectives listed in the "average" State/Special Facility IEP were written in measurable terms. (See Appendix D, Table D.9). The results are not statistically different for those from the Basic Survey population. These data are based on an evaluation of the short-term objectives including any additional pertinent evaluation criteria listed anywhere in the IEP. Since this property of short-term objectives is directly related to the mandate of the Act that IEPs contain objective criteria for determining whether instructional objectives are being met, this subject will be discussed in greater detail in subsection "8" (Proposed Evaluation Criteria).

4. Statement of Specific Educational Services to be Provided

The Act requires that an IEP include a statement of specific educational services to be provided. There would appear to be a number of ways by which this requirement can be met. For example, an IEP may include (a) such information under a heading requesting a statement of specific special education services to be provided, (b) a listing of annual goals and/or short-term objectives to be met by the specific service, and (c) a separate listing in the IEP of a related service to be provided. When using these criteria, virtually every State/Special Facility IEP provided such information. Following is a brief discussion of each of these three major approaches to providing this mandated information.

Sixty-seven percent of State/Special Facility IEPs included a heading requesting a statement of specific educational services to be provided. (See Appendix D, Table D.4.) In 89 percent of these cases, the typical State/Special Facility IEP contained under the heading a brief descriptor of the proposed special education placement (e.g., resource room, speech therapy, learning lab). When results were analyzed for the State/Special Facility and Basic Survey populations, the differences in the percent of IEPs that contained headings in this area (67 and 81 percent, respectively) suggested that such headings may appear more often in the Basic Survey population.

The major means by which IEPs included a statement of specific educational services to be provided was by including the annual goals and short-term objectives which the educational program presumably is designed to meet. This strategy, which was employed for 99 percent of the State/Special Facility IEPs, was discussed in the two previous subsections. Results were very similar in the State/Special Facility and Basic Survey populations.

A final means of stating specific services was by listing related services (e.g., transportation, psychological services, physical therapy). Approximately 35 percent of State/Special Facility IEPs included at least some related services information. This is discussed in greater detail in Chapter 7.

5. Statement of Extent to Which Student will be Able to Participate in Regular Education Programs

Either of two basic approaches to providing information regarding the extent to which the student would be able to participate in the regular program generally was followed. These were: (a) some IEPs listed, either as proportion of time or in minutes, hours, or class periods, the time the student would be assigned to the regular education program; and (b) some IEPs used the reverse approach and listed the proportion or amount of time that the student would be assigned to special education. Either approach provides the necessary information.

As was noted earlier, a significantly smaller proportion (45 percent) of State/Special Facility IEPs contained this information than did Basic Survey IEPs (62 percent).

6. Projected Date for Initiation of Specific Services

Two approaches were used in State/Special Facility IEPs to state the projected date(s) for initiation of services. These were: (a) to specifically state that the special education services will begin on a certain date; and (b) to provide proposed dates for beginning work toward meeting the listed annual goals and/or short-term objectives. The first approach was used in 45 percent of the IEPs; the latter was used in 29 percent. It should be pointed out, however, that the 29 percent included IEPs in which the beginning dates were provided for only a portion of the goals or objectives. If the beginning date was provided for as few as one goal or one objective, the IEP was included in this category. Also, for this latter category, dates often were provided by listing the month but not the day of the month, or by noting that the IEP was, for example, for the 1978-79 school year. (The assumption here is that service is initiated at the beginning of the school year.) Even with these allowances, however, a reasonably clear statement requiring a minimum of inferences was presented in only 74 percent of the State/Special Facility IEPs.

An additional 21 percent of the IEPs included the date that the IEP was prepared. While this is not necessarily the same as the date of initiation of

service, the approximate service date usually could be inferred. Four percent of State/Special Facility IEPs provided no information from which the initiation date could be ascertained or inferred.

The projected date(s) for the initiation of specific services was specifically stated less often in State/Special Facility IEPs (45 percent) than in Basic Survey IEPs (66 percent). (See Appendix D, Table D.10.)

7. Anticipated Duration of Specific Services

As with the date for the beginning of service, IEPs stated the anticipated duration of service by: (a) specifically stating the beginning and ending dates of service (or stating the length of service); or (b) providing information regarding the length of time proposed for meeting one or more annual goals or short-term objectives. In both cases, the duration generally was stated in reasonably precise terms.

The first approach was used in 42 percent of State/Special Facility IEPs; the second approach was used in 31 percent. An additional 21 percent of State/Special Facility IEPs inferred the duration of service by stating that the goals of the special education program were "annual" goals. One percent of State/Special Facility IEPs stated that services would be provided "as long as needed." Only five percent of State/Special Facility IEPs failed to provide information from which anticipated duration of service could be ascertained or inferred. (See Table D.11 for additional information.)

There was no significant difference in the State/Special Facility and Basic Survey populations in the percent of IEPs for which the anticipated duration of services was specifically stated. However, duration of service was specifically stated less often in State/Special Facility IEPs (42 percent) than in special education school IEPs (65 percent).

8. Proposed Evaluation Criteria

The Act states that an IEP shall include "appropriate objective criteria ... for determining whether instructional objectives are being achieved." (It is assumed that "instructional objectives" as used in the Act refers primarily if not exclusively to the "short-term objectives" mandated to be included in IEPs.) As was noted in subsection 3 (short-term objectives), two approaches were used for presenting these evaluation criteria in IEPs. First, the IEP included a heading under which the evaluation criteria were presented, and second, the short-term objectives were written in measurable terms (thus including within the objective statement the criteria for

achievement). With the first approach, for example, the IEP might list under a heading requesting evaluation criteria data that "the student will score at least the grade 4.5 level on the mathematics section of the XXX test battery." With the second approach, a particular short-term objective might be stated as follows: "Given 25 randomly constructed 2-digit x 2-digit multiplication problems, the student, using paper and pencil, will correctly solve at least 80 percent of them in 25 minutes."

As was shown in Figure 4.1, 80 percent of State/Special Facility IEPs included proposed evaluation criteria. This was statistically greater than in the Basic Survey population. The basis for this datum, as noted in Appendix D, page D.2, is that the IEP included either (a) a heading requesting proposed evaluation criteria, with reasonably appropriate information entered under the heading, or (b) at least one short-term objective written in measurable terms. Of the 61 percent of State/Special Facility IEPs that had a heading requesting evaluation criteria, 93 percent had reasonably appropriate information entered under the heading. However, this percentage could be misinterpreted without an understanding of what was considered "reasonably appropriate information." In order to be consistent with the guidelines regarding inclusion of data under headings used for all other IEP headings, a quite generous interpretation of "reasonably appropriate" was used. For example, such statements as "passes teacher-made tests," "as determined by grades or daily lessons," or "completes most assignments on time" were considered reasonably appropriate. The criterion for inclusion in the second category, that of measurable short-term objectives, was more strict but also more narrowly based. For example, a short-term objective was required to include a logical statement of expected behavior to a specified criterion in order to be considered measurable. However, if only <u>one</u> objective in the IEP was written in measurable terms, the IEP was considered to include proposed evaluation criteria and thus was included in the 80 percent figure displayed in Figure 4.1.

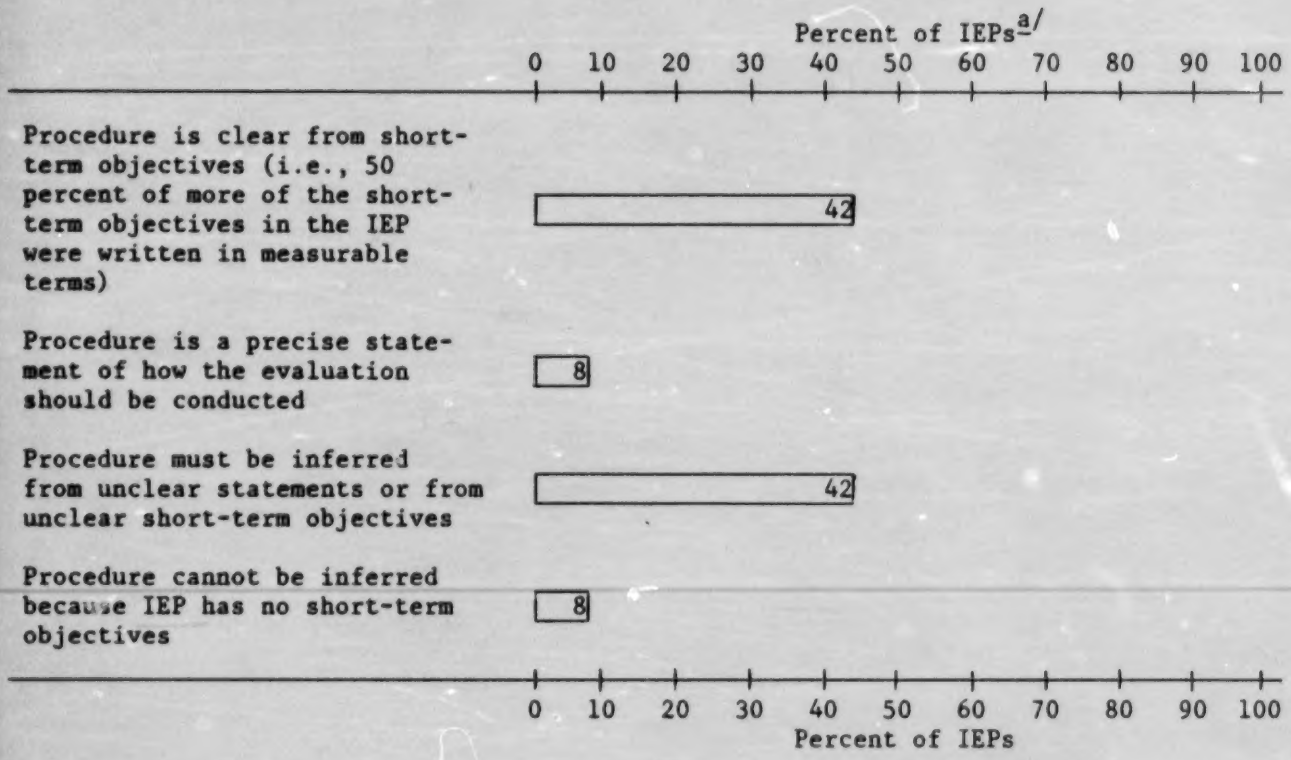
It is critical to note that in reviewing a short-term objective to determine whether or not it was written in measurable terms, any related information listed elsewhere in the IEP under an evaluation criteria heading was considered to be a part of the short-term objectives. For example, if short-term objectives such as "will improve in reading comprehension," "will increase reading skills," and "will learn to spell new words" were included in the IEP; and if the IEP stated that the evaluation criterion for the IEP was that the student

score at the grade 4.5 level of the language skills section of the XXX test battery, the three example objectives would, based on the latter statement, be considered to have been written in measurable terms. As was noted in subsection 3, only 67 percent of State/Special Facility IEPs included one or more short-term objectives written in measurable terms. This means that, by using the less generous guideline of including only IEPs with objectives written in measurable terms, only 67 percent (instead of the 80 percent shown in Figure 4.1) of State/Special Facility IEPs provided evaluation criteria. Further, as is shown in Appendix D, Table D.9, only 45 percent included evaluation criteria for 50 percent or more of the short-term objectives, and only 22 percent of State/Special Facility IEPs included evaluation criteria for 90 percent or more of the short-term objectives.

Regardless of the guidelines used, a larger proportion of State/Special Facility IEPs included evaluation criteria than did Basic Survey IEPs. For example, as noted earlier, when using the more generous guidelines, 80 percent of the State/Special Facility IEPs contained evaluation criteria. Using the same guidelines, only 65 percent of the Basic Survey IEPs contained the evaluation criteria. Using the more strict guidelines, 67 percent of the State/Special Facility IEPs, as compared to 54 percent of the Basic Survey IEPs, contained the evaluation criteria.

9. Proposed Evaluation Procedures

As was portrayed in Figure 4.1, 92 percent of State/Special Facility IEPs included proposed evaluation procedures for evaluating the short-term objectives. However, as is portrayed in Figure 4.4, a considerable portion of this 92 percent is included based on inferences rather than clear statements. Basically, the difference between the guidelines used for evaluation procedures and those used for evaluation criteria was that a short-term objective written in measurable terms was one means of meeting the evaluation criteria requirement, while the mere inclusion of a short-term objective (whether or not written in measurable terms) was considered to satisfy the requirement for evaluation procedures. While this decision was somewhat arbitrary, reasonable justification appears to exist. If an objective is not written in measurable terms, an impartial evaluator generally would have no basis for determining whether or not the objective had been met. For example, for the objective that states the student "will learn multiplication tables," one would have no way of knowing what numbers were to be included in the multiplication tables


Percent of IEPs[a/]
0 10 20 30 40 50 60 70 80 90 100
Procedure is clear from short-term objectives (i.e., 50 percent of more of the short-term objectives in the IEP were written in measurable terms)
42
Procedure is a precise statement of how the evaluation should be conducted
8
Procedure must be inferred from unclear statements or from unclear short-term objectives
42
Procedure cannot be inferred because IEP has no short-term objectives
8
0 10 20 30 40 50 60 70 80 90 100
Percent of IEPs

[a/] See Table D.12 for actual percentages and associated standard errors.

Figure 4.4. How Proposed Evaluation Procedures were Presented in State/Special Facility IEPs.

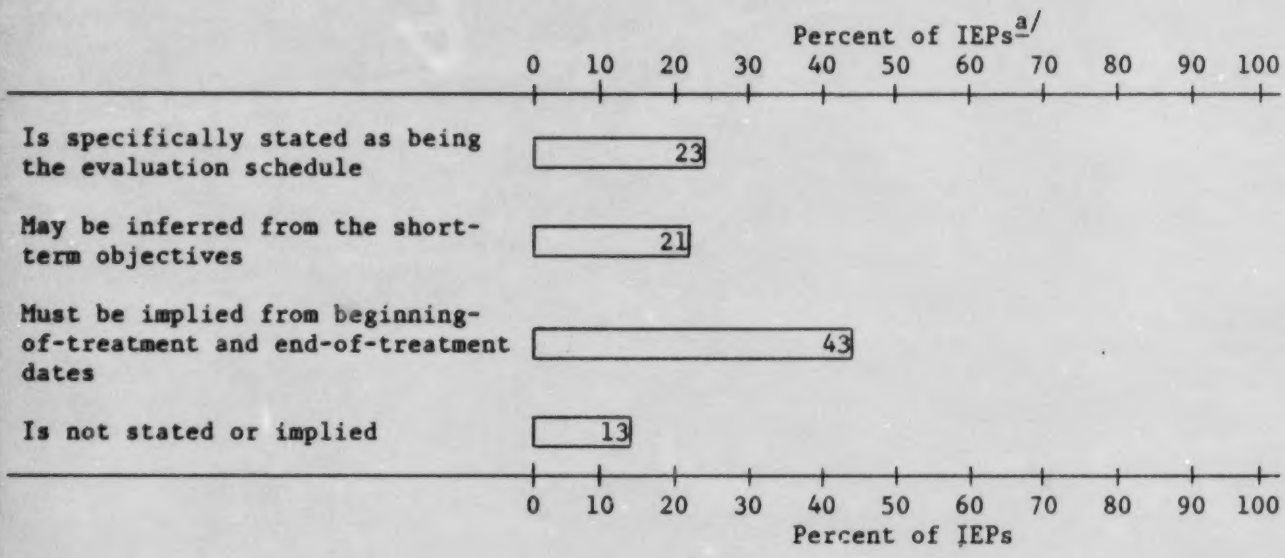
or what level of performance would be acceptable as a measure of success. On the other hand, for the same objective, the procedure for evaluating the objective could be assumed. It is reasonably (but certainly not totally) clear that the student would be presented with various multiplication table problems and asked to provide the answers.

Figure 4.4 shows the means by which proposed evaluation procedures were presented in State/Special Facility IEPs. In eight percent of the State/Special Facility IEPs, this information was presented as a precise statement (e.g., "by administering test XXX") of how the evaluation will be conducted. In an additional 42 percent of State/Special Facility IEPs, the evaluation procedures information was clear from the short-term objectives (that is, 50 percent or more of the objectives were written in measurable terms). In another 42 percent of the State/Special Facility IEPs, the procedures for evaluating most of the objectives had to be inferred from unclear statements or unclear objectives. In the remaining eight percent of the IEPs, procedures for evaluating the objectives were not applicable, since there were no objectives to evaluate.

The means by which proposed evaluation procedures were presented were similar in the State/Special Facility and Basic Survey populations. (See Appendix D, Table D.12.)

10. Proposed Schedules for Determining Whether Instructional Objectives Are Being Met

The Act states that an IEP must include "schedules for determining ... whether instructional objectives are being achieved." Figure 4.5 portrays how these data were provided in IEPs. Only 23 percent of State/Special Facility IEPs listed dates and specifically stated that the dates represented the evaluation schedule. An additional 21 percent included the dates when work toward meeting short-term objectives was expected to be completed (for at least part of the objectives in the IEP). These dates reasonably could be considered to represent evaluation schedules. For 43 percent of IEPs, while an evaluation schedule was not actually included, it could be inferred from the beginning-of-treatment and end-of-treatment dates. For example, if services to be provided were to begin in September and the IEP was for the 1977-78 school year, it could be inferred that the evaluation schedule was that the short-term objectives would be evaluated at some (or numerous) point(s) between September and the end of the school year. (It should be


Percent of IEPs[a/]
0 10 20 30 40 50 60 70 80 90 100
Is specifically stated as being the evaluation schedule
23
May be inferred from the short-term objectives
21
Must be implied from beginning-of-treatment and end-of-treatment dates
43
Is not stated or implied
13
0 10 20 30 40 50 60 70 80 90 100
Percent of IEPs

a/ See Table D.13 for actual percentages and associated standard errors.

igure 4.5. How Evaluation Schedules were Presented in State/Special Facility IEPs.

noted that, for some objectives, a specific evaluation date is not appropriate. For example, an objective such as "will turn in daily assignments at least 75 percent of the time" cannot be evaluated on Tuesday, January 15; it must be evaluated over time.) Only 13 percent of the IEPs either had no indication of the time frame for the short-term objectives or had no short-term objectives to evaluate.

There was no significant difference in the percent of State/Special Facility and Basic Survey IEPs for which the evaluation schedule had to be implied from beginning-of-treatment and end-of-treatment dates. However, more Basic Survey IEPs than State/Special Facility IEPs contained information about short-term objectives from which inferences about evaluation schedules could be made (36 percent and 21 percent, respectively). And results suggested that more State/Special Facility IEPs than Basic Survey IEPs might have specific evaluation schedules (23 percent versus 14 percent). (See Appendix D, Table D.13.)

As was noted above, many short-term objectives must be evaluated over time; a specific evaluation date or dates was not particularly appropriate (e.g., an objective such as "student will turn in all homework assignments on time" or "the student will improve the quality of social interactions by ..." likely will have to be evaluated continually rather than at a specific point in time). This may be a major reason why a heading requesting evaluation schedules failed to significantly increase the provision of evaluation schedule data. Only about half of the IEPs with such a heading actually included specific schedules under the heading (however, almost three-fourths included some kind of information (e.g., "as appropriate" or "daily, weekly, or monthly, depending on nature of objectives") under the heading).

11. Assurance of at Least an Annual Evaluation

The Act states that the IEP must include criteria, procedures, and schedules for determining, on at least an annual basis, whether instructional objectives are being achieved. By using the various criteria discussed in the previous subsection (that is, specific schedules plus time spans inferred from other data on the IEP), the large majority of State/Special Facility IEPs (91 percent) required at least an annual evaluation for all of the short-term objectives. Only a miniscule proportion (0.2 percent) appeared to require an annual evaluation for part but not all of the objectives. The remaining nine percent of State/Special Facility IEPs either had no dates for making inferences

or had no short-term objectives to be evaluated. (See Appendix D, Table D.14.) There were no significant differences in these results and the ones for the Basic Survey population.

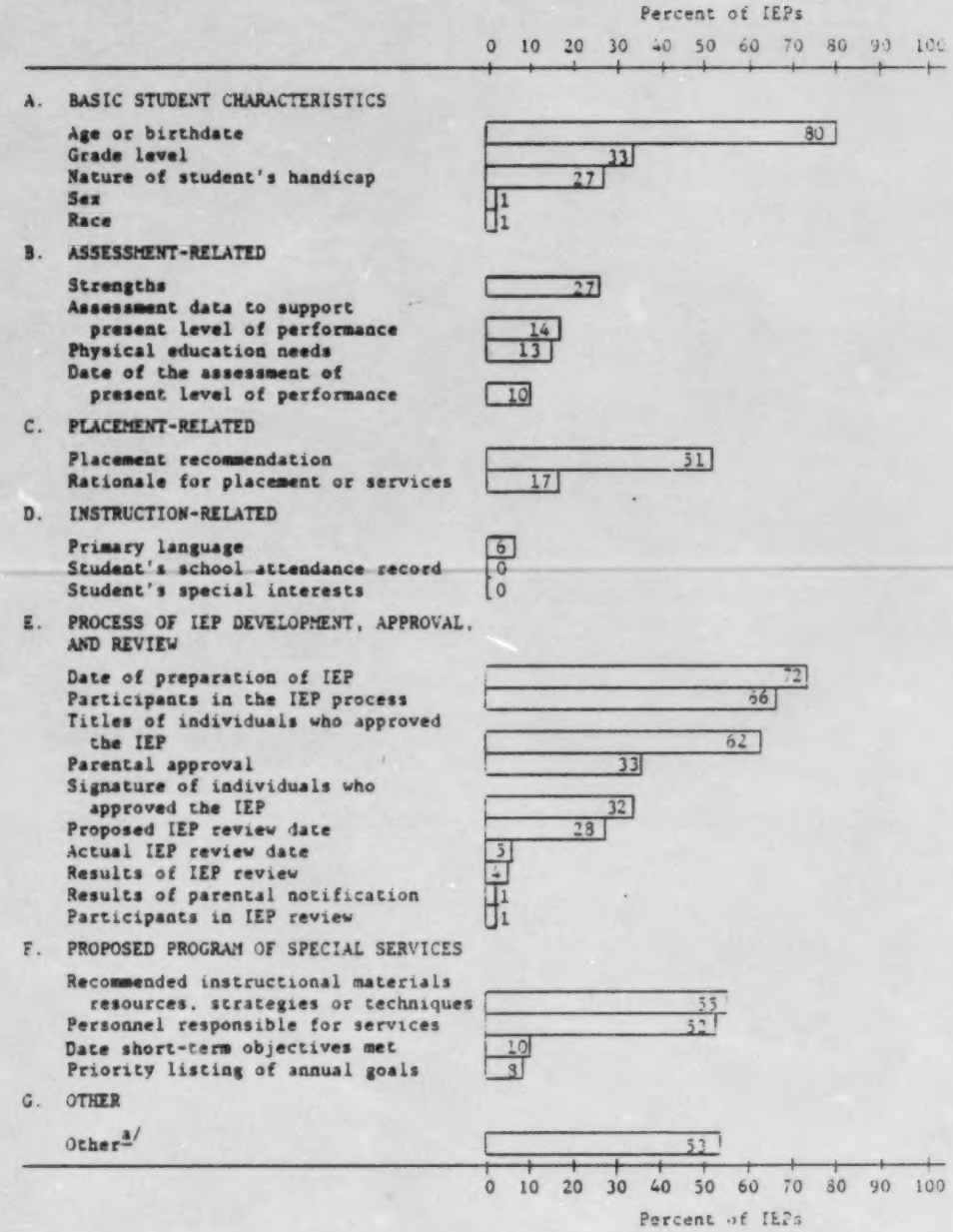
II. THE EXTENT TO WHICH NONMANDATED INFORMATION WAS CONTAINED IN STATE/SPECIAL FACILITY IEPs AND HOW THIS INFORMATION WAS PRESENTED, IN COMPARISON WITH THE BASIC SURVEY POPULATION

The presence or absence of nonmandated information was determined directly from the information entered under a heading requesting the information. No attempt was made to determine if information associated with a heading that was left blank was listed elsewhere in the IEP. For example, if space designated for the student's sex was left blank, no attempt was made to search elsewhere in the IEP for that information (e.g., from pronoun genders).

As can be seen in Figure 4.6, the non-mandated information contained in IEPs was delineated by the seven categories defined and used in Section III of Chapter 3: student characteristics; assessment-related; placement-related; instruction-related; process of IEP development, approval, and review; proposed program of special services; and other miscellaneous information. Specific types of information that occur in less than one percent of the IEPs in the combined Basic Survey and State/Special Facility populations were grouped in this latter category. (Also see Appendix D, Table D.5.)

With regard to student characteristics, the most common information item was the student's age/birthdate (80 percent). No other information items were included in a majority of the State/Special Facility IEPs. Information for three of the five items in this category was included more often in IEPs developed for students in the Basic Survey population than in State/Special Facility IEPs (grade level, sex, and race). However, information for age/birthdate and for nature of student's handicap appeared with about the same frequency in both populations.

None of the information within the category of assessment-related data was included in as many as 30 percent of the State/Special Facility IEPs. Information related both to assessment data in support of present level of performance and to the date of the assessment was included more frequently in Basic Survey IEPs than in State/Special Facility IEPs.


Percent of IEPs
0 10 20 30 40 50 60 70 80 90 100
A. BASIC STUDENT CHARACTERISTICS
Age or birthdate 80
Grade level 33
Nature of student's handicap 27
Sex 1
Race 1
B. ASSESSMENT-RELATED
Strengths 27
Assessment data to support present level of performance 14
Physical education needs 13
Date of the assessment of present level of performance 10
C. PLACEMENT-RELATED
Placement recommendation 51
Rationale for placement or services 17
D. INSTRUCTION-RELATED
Primary language 6
Student's school attendance record 0
Student's special interests 0
E. PROCESS OF IEP DEVELOPMENT, APPROVAL, AND REVIEW
Date of preparation of IEP 72
Participants in the IEP process 66
Titles of individuals who approved the IEP 62
Parental approval 33
Signature of individuals who approved the IEP 32
Proposed IEP review date 28
Actual IEP review date 3
Results of IEP review 4
Results of parental notification 1
Participants in IEP review 1
F. PROPOSED PROGRAM OF SPECIAL SERVICES
Recommended instructional materials resources, strategies or techniques 55
Personnel responsible for services 52
Date short-term objectives met 10
Priority listing of annual goals 9
G. OTHER
Other a/ 52
0 10 20 30 40 50 60 70 80 90 100
Percent of IEPs

a/ IEPs with at least one "other" heading. Includes such headings as: date of referral or last grade obtained, no single one of which occurred in more than one percent of the IEPs in the combined Basic Survey and State/Special Facility populations.

Figure 4.6. Percent of State/Special Facility IEPs with Nonmandated Information.

As in the Basic Survey population, instrument-related information was included on only a very small proportion of State/Special Facility IEPs. A placement recommendation was provided about half of the time; however, the rationale for placement was provided only 17 percent of the time. Placement-related information was included with about the same frequency in the Basic Survey and State/Special Facility populations.

State/Special Facility IEPs generally contained a considerable amount of data regarding the IEP development/approval process: 72 percent contained the date of preparation, 66 percent listed the participants in the IEP process, 62 percent gave the titles of individuals approving the IEP, 33 percent gave some evidence of parental approval, and 32 percent contained the signatures of individuals approving the IEP. Information concerning participants in the IEP process, evidence of parental approval, and signatures of approvers were included more frequently in Basic Survey IEPs than in State/Special Facility IEPs.

As in the Basic Survey Population, very few State/Special Facility IEPs documented the IEP review process. It is likely that such reviews had not yet taken place for many of the IEPs because they may have just recently been developed and implemented. (IEPs that are reviewed during the school year usually are reviewed a few months after they have been implemented.) Nevertheless, it appears that greater attention was paid to documentation of the development and final approval of IEPs, than was paid to their review.

Information concerning the proposed program was most frequently provided with regard to recommended instructional materials, resources, strategies or techniques (55 percent), and the personnel responsible for services (52 percent). The date short-term objectives were met was provided in only 10 percent of the State/Special Facility IEPs. A possible explanation for the lack of this latter information is that it was not yet available for recently developed IEPs. All information items in this category were represented in the Basic Survey and State/Special Facility populations with similar frequencies.

Other kinds of information were contained in about one-half of the State/Special Facility IEPs, as compared to about one-third of the Basic Survey IEPs. No "single" kind of information included in this category occurred in more than one percent of all IEPs in the combined Basic Survey and State/Special Facility populations.

Table 4.1 presents completion rates for headings requesting non-mandated information. As with the Basic Survey population, the extent to which information was entered under some headings was quite low. However, the reasons for many of the low completion rates is obvious. The low completion rates in students' school attendance records (12 percent), date short-term objectives met (48 percent), results of IEP review (61 percent), and participants in IEP review (50 percent) provide additional support for the assumption that these headings would be left blank for a significant number of IEPs since the requested information probably would be entered only at certain times; e.g., at the end of an attendance period, after short-term objectives had been met, or after the IEP review had been conducted.

III. SUMMARY

This chapter discussed the kinds of information contained in State/Special Facility IEPs and how the information was presented. The contents of IEPs were separated into two categories: (a) the 11 information areas mandated by Section 602 of P.L. 94-142, and (b) information areas not mandated by P.L. 94-142. Ten of the 11 mandated information items were found in 80 percent or more of the State/Special Facility IEPs, and 7 of the 11 were found in more than 90 percent.

For mandated information items included in less than 90 percent of the IEPs in the State/Special Facility or Basic Survey populations, there were statistically significant differences in the percent of IEPs including the information for only two items. Information regarding extent of participation in regular education programs was included in 62 percent of the Basic Survey IEPs and 45 percent of State/Special Facility IEPs. Regarding proposed evaluation criteria, information was included in 80 percent of State/Special Facility IEPs and 65 percent of Basic Survey IEPs.

Only about one-third of the State/Special Facility IEPs contained information for all 11 mandated information items. Over 90 percent of them contained information for at least 7 of the 11 items. This was consistent with results for Basic Survey IEPs.

Eighty-nine percent of the State/Special Facility IEPs contained some present-level-of-performance information. In addition, 27 percent included

Table 4.1

COMPLETION RATES FOR HEADINGS REQUESTING NONMANDATED INFORMATION

Non-Mandated Information Area	Percent of IEPs That Have Information Entered[a/]
A. BASIC STUDENT CHARACTERISTICS	
Student's age or birthdate	97
Student's grade level	97
Nature of student's handicap	84
Student's sex	92
Student's race	89
B. ASSESSMENT-RELATED	
Assessment data to support present level of performance	81
Date of the assessment of present level of performance	94
Student's strengths	92
Physical education needs	98
C. PLACEMENT-RELATED	
Placement recommendation	92
Rationale for placement or services	84
D. INSTRUCTION-RELATED	
Student's primary language	88
Student's school attendance record	12
Student's special interests	100
E. PROCESS OF IEP DEVELOPMENT, APPROVAL, AND REVIEW	
Participants in the IEP process	90
Date of preparation of IEP	90
Titles of individuals who approved the IEP	91
Parental approval	70
Signature of individuals who approved the IEP	89
Proposed IEP review date	84
Results of parental notification	71
Actual IEP review date	75
Results of IEP review	61
Participants in IEP review	50
F. PROPOSED PROGRAM OF SPECIAL SERVICES	
Personnel responsible for services	92
Recommended instructional materials resources, strategies or techniques	84
Date short-term objectives met	48
Priority listing of annual goals	75
G. OTHER	
Other[b/]	76

a/ Percents are based on the number of IEPs that have the heading.

b/ IEPs with at least one "other" heading. Includes such headings as: date of referral or last grade obtained.

supporting data, such as test scores, to support the present-level-of-performance information. Sixty-six percent of the State/Special Facility IEPs included present-level-of-performance information for at least three academic or functional areas, and 65 percent contained such information for at least one academic or functional area where special education was found not to be required, thus indicating a student strength. Ten percent of the IEPs included the assessment dates. There was no significant difference in the percent of State/Special Facility and Basic Survey IEPs containing some present-level-of-performance information, but there were some differences in the percents including some specific types of supporting and related information.

Two percent of the State/Special Facility IEPs had no annual goals, and eight percent had no short-term objectives. Those IEPs that had at least one goal statement had an average of 11 and a median of 6.5 annual goals. State/Special Facility IEPs contained more annual goals than Basic Survey IEPs, which had an average of 6 and a median of 3.2 annual goals. However, while State/Special Facility IEPs contained more goals than those for students in regular schools, they did not contain more than those for students in special schools.

The mean number of objectives per State/Special Facility IEP was 58, while the median was around 25. IEPs developed for students in state/special facilities contained more objectives than those developed for students in the Basic Survey population, which had a mean of 26 and a median of 11. The mean number of objectives in State/Special Facility IEPs was greater than that in either regular schools or special schools. Only forty-four percent of all the short-term objectives listed in the "average" IEP were written in measurable terms (even when any additional pertinent evaluation criteria listed anywhere in the IEP was included). In one-third of the State/Special Facility IEPs, not one of the short-term objectives was written in measurable terms.

While the beginning date of service and the anticipated duration of service were each included in State/Special Facility IEPs 95 percent of the time, these data were based upon rather generous assumptions. For 21 percent, the beginning date of service was not specifically stated but was inferred from the date the IEP was prepared. Also, for 21 percent of the IEPs, the duration of service was assumed to be one year based on the notation that the goals were "annual" goals. One percent of the State/Special Facility IEPs stated that service would be provided "as long as needed." The beginning date

of service and the anticipated duration were each included in both State/Special Facility IEPs and Basic Survey IEPs at least 95 percent of the time, but there were some differences between them in the degree of specificity.

Using generous assumptions, it was found that proposed evaluation criteria were included in 80 percent of State/Special Facility IEPs, and this was significantly greater than in the Basic Survey population. However, only 45 percent of the IEPs included evaluation criteria for 50 percent or more of the short-term objectives, and only 20 percent of the IEPs included such criteria for 90 percent or more of the short-term objectives.

As with evaluation criteria, the evaluation procedures information, while provided in 92 percent of State/Special Facility IEPs, often was not clearly stated. Eight percent included a precise statement of how the evaluation should be conducted, and another 42 percent of the IEPs provided a clear statement of evaluation procedure for 50 percent or more of the short-term objectives included in the IEP. These results were similar to those for the Basic Survey population.

The schedule for evaluating short-term objectives was specifically stated in 23 percent of State/Special Facility IEPs and could be inferred from short-term objectives in another 21 percent. And in 43 percent of the State/Special Facility IEPs, the evaluation schedule could be estimated roughly from the beginning-of-treatment dates and end-of-treatment dates. There was no significant difference in the percent of State/Special Facility and Basic Survey IEPs for which the evaluation schedule had to be implied from beginning-of-treatment and end-of-treatment dates. However, more Basic Survey IEPs than State/Special Facility IEPs contained information about short-term objectives from which inferences about evaluation schedules could be made.

Ninty-one percent of the State/Special Facility IEPs required at least an annual evaluation for all of the short-term objectives. This was not significantly different from Basic Survey results.

As in the Basic Survey population, a considerable amount of nonmandated information was included in the IEPs. The students' age or birthdate was provided 80 percent of the time, a placement recommendation 51 percent of the time, participants in the IEP process 66 percent of the time, personnel responsible for service 52 percent of the time, and recommended instructional resources/strategies 55 percent of the time.

There was a direct relationship between the inclusion of information in State/Special Facility IEPs and the IEP format headings under which to list information. For both mandated and nonmandated information, the inclusion in the IEP format of a heading requesting the information was more likely to result in the inclusion of the information.

Chapter 5

Who Participates in the Development and Approval of State/Special Facility IEPs?

Two data sources were used to provide information about who participated in the development of IEPs: (a) an IEP evaluation checklist used to document data from the IEP; and (b) a survey questionnaire completed by teachers. The IEP evaluation checklist was used to examine the extent to which IEPs specified who participated in the process of developing the IEP. It also was used to determine to what extent parental, guardian, or surrogate approval of the IEP was indicated in the IEP itself. The Act does not require that participants be listed in the IEP, and it was found that in many cases not all of the participants in developing the IEP were identified in the IEP itself and that sometimes those who approved the IEP signed a separate approval form that was not included with the IEP.

In the survey questionnaire, the teachers were asked to recall the handicapped student's and parent's participation in developing the IEP and to respond to a number of questions about that participation. The teacher most knowledgeable about the student's IEP was the one selected to respond to the survey questionnaire. In cases where personnel other than the reporting teachers might have better knowledge about specific survey questions, the reporting teachers were encouraged to check with them for assistance in responding to the survey. In spite of these considerations, the survey data were affected by a lack of complete teacher recall, since many of the IEPs, for which the information was collected during the spring, had been developed during the fall of the current school year or the spring of the previous school year.

The two data sources were designed to be complementary, answering somewhat different but closely related subquestions. Results from the two usually differ slightly concerning similar information. Both sources of information should be studied together to gain insight into parent and student participation in developing IEPs.

This chapter examines the participation of school (or facility) personnel, parents, and students in the development of IEPs. From the two sources of

data it is possible to answer the questions: What is the extent of participation of various persons in developing the IEP? Who signs and approves the IEP? Two additional questions will be answered: Does participation in the development of IEPs vary within subpopulations of students defined by student's age and severity of handicapping condition? What proportion of IEPs are produced by committees including at least one representative from each of the three types of persons mandated by P.L. 94-142 to be included: teachers, parents, and LEA representatives?

Section I discusses the involvement of various types of state/special facility personnel in developing and approving IEPs, while Section II discusses the involvement of parents and students. Section III shows the degree to which IEP committees included the participation of at least one member from the three categories mandated by P.L. 94-142. A summary is presented at the end of the chapter. Detailed descriptive statistics and associated standard errors for the results presented in this chapter are included in Appendix E.

I. WHAT SCHOOL PERSONNEL PARTICIPATED IN THE DEVELOPMENT AND APPROVAL OF STATE/SPECIAL FACILITY IEPs?

Those whose names and/or titles appeared on the collected IEPs were considered to be participants in the IEP development process. As previously noted, the Act does not require that IEPs contain a listing of the persons who participated in their development. Therefore, these data are probably underestimates of the number of persons included in the development and approval of IEPs. Fifteen different types of school (or facility) personnel were identified from the IEPs as participants. These personnel types were subdivided into three categories: teachers and therapists; administrative representatives; and ancillary personnel such as school psychologists or counselors. Another category was added for those without an identification of title or position, or those whose positions were not listed. (See Appendix E, Table E.1 for a listing of personnel included in each category.)

A. State/Special Facility Population Compared with Basic Survey Population

Seventy-three percent of the State/Special Facility IEPs listed at least one participant, and 67 percent included at least one signature. Across all IEPs with at least one participant, the mean number of participants was 4.1;

and across all IEPs with at least one signer, the mean number of signatures was 3.3.

A significantly greater percent of IEPs in the Basic Survey population listed at least one participant (92 percent) and included at least one signature (82 percent) than in the State/Special Facility population. However, there were no statistically significant differences between the State/Special Facility and Basic Survey populations in the mean numbers of participants and signers for IEPs with at least one participant or signer. It is possible that separate approval forms are used more often in state/special facilities, affecting the percentage of IEPs with at least one participant or signer.

Table 5.1 shows that at least one representative from the category of teachers and therapists was specifically identified as a participant in 62 percent of the IEPs developed in state/special facilities, administrators in 36 percent, and ancillary personnel (e.g., school psychologists, counselors, social workers, and nurses) in 14 percent. In 27 percent of the IEPs, at least one other participant was identified who could not be classified by title or who held positions that could not logically be included in the other categories. The table further indicates that 30 percent of the IEPs specifically identified both a teacher or therapist and an administrator. These are the two types of school personnel mandated by P.L. 94-142 regulations to be participants on the IEP committee, in addition to the parent.[1] (See Appendix E, Table E.1.)

Table 5.1

CATEGORIES OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE STATE/SPECIAL FACILITY IEP PROCESS

Categories of Participants	Percent Of IEPs with Participation Category Represented	
	Participant	Signer
Teachers and therapists	62	43
Administrative personnel	36	31
Both of above	30	20
Ancillary personnel	14	9
Could not classify and Other	27	20

[1] As in the Basic Survey (Volume III), the percents in this section are based on the total number of IEPs, as opposed to being based only on the IEPs that listed at least one participant (or one signer), except as specifically noted for means.

The mean numbers of participants by category of school personnel, across IEPs with at least one participant indicated, were as follows: teachers and therapists, 1.48; administrative personnel, 0.75; ancillary personnel, 0.28; and could not classify and other, 0.76. (See Appendix E, Table E.8.)

Table 5.1 also indicates the percent of IEPs signed by participants from various categories. Significantly fewer participants signed the IEP than were named on them. This could be due to a number of reasons, including the likelihood that many participants were not expected to sign the actual IEP but were to indicate approval on a separate form.

Table 5.2 presents the participation rates for those types of school personnel who were identified as participants on at least five percent of the IEPs prepared for students in state/special facilities. (See Appendix E, Table E.1 for a complete list of participants.) Speech or language therapists were identified as participants most often (18 percent), and principals and LEA representatives[2] were each identified in 14 percent of the IEPs.

Table 5.2

TYPES OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE STATE/SPECIAL FACILITY IEP PROCESS

Type of Participant	Percent of IEPs with Participation Type Represented
Speech and language therapists	18
Principals	14
LEA representatives	14
Supervisors	10
School psychologists	9
School representatives	9
Regular classroom teachers	8
Special education teachers	6
Social workers	5
Physical or occupational therapists	5

Table 5.3 compares participation rates for categories of school personnel in IEPs prepared for students in state/special facilities with those prepared for students in the Basic Survey population. With the exception of "could not

[2] These are representatives from a Local Education Agency. In most cases the LEA has maintained some responsibility for the educational program of the student. In a few cases the LEA shares some jurisdiction with the specific state/special facility.

classify and other," each category of participant was represented in a larger percentage of Basic Survey IEPs than in State/Special Facility IEPs. (See Appendix E, Table E.1.) Looking across all IEPs with at least one participant indicated, there were no statistically significant differences between the State/Special Facility and Basic Survey populations in mean numbers of participants by category of school personnel. (See Appendix E, Table E.8.)

Table 5.3

CATEGORIES OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE IEP PROCESS IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS

Categories of Participants	Percent of IEPs with Participation Category Represented	
	State Facility	Basic Survey
Teachers and therapists	62	74
Administrative personnel	36	60
Both of above	30	50
Ancillary personnel	14	24
Could not classify and other	27	27

Table 5.4 displays the types of school personnel for whom significant differences in participation rates were noted between the State/Special Facility and Basic Survey populations. Participation rates were higher in the Basic Survey population for 6 of the 15 types of personnel, and they were higher in the State/Special Facility population for 2 of the 15.

Similarities and differences between regular schools, special schools, and state/special facilities varied by category of school personnel. For the category of administrative representatives, participation rates in both regular and special schools were greater than in state/special facilities. This pattern also held for teachers and therapists, although the differences were not as great. Given these results, the same pattern was also true for the category "Both of the Above" which looked across the two categories.

For ancillary personnel, participation rates in special schools and state/special facilities were similar. Participation rates in regular schools were greater than those in state/special facilities, and results suggested

Table 5.4

TYPES OF SCHOOL PERSONNEL FOR WHOM THERE WERE SIGNIFICANTLY DIFFERENT PARTICIPATION RATES IN THE IEP PROCESS IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS

Type of Participant	Percent of IEPs With Participation Type Represented	
	State Facility	Basic Survey
Greater in Basic Survey		
Regular classroom teachers	8	13
Special education teachers	6	33
Principals	14	34
Case managers	4	16
School psychologists[a/]	9	14
Counselors	2	10
Greater in State/Special Facility		
Physical or occupational therapists	5	0
Supervisors[a/]	10	2

a/ Results were suggestive of a statistically significant difference.

that rates in regular schools might be greater than those in special schools. There were no significant differences in the participation rates for the category, "could not classify and other." (See Appendix E, Table E.2.)

There were several patterns of similarities and differences between regular schools, special schools, and state/special facilities by individual types of personnel. For physical or occupational therapists, participation rates in state/special facilities were similar to those in special schools but greater than in regular schools. For counselors, school psychologists, and regular classroom teachers participation rates in state/special facilities also were similar to those in special schools, but they were less than those in regular schools.

Participation rates of social workers were similar in state/special facilities and regular schools, but rates were greater in state/special facilities than in special schools. For physical education teachers, participation rates also were similar in state/special facilities and regular schools;

however, results suggested that participation rates might be greater in special schools than in state/special facilities. (See Appendix E, Table E.2.)

B. Variation by State/Special Facility Subpopulations

The participation of school personnel in the development of state/special facility IEPs was analyzed for subpopulations within two reporting variables: student age and severity of student handicap. Comparisons were made for participation, but not for signing. The comparisons were made for the categories of participants shown in Table 5.1, but they were not made for the types of individual school personnel because of inadequate cell sample sizes.

1. Student Age Levels

To determine whether or not the participation of school personnel varied significantly with the student's age, IEPs were examined according to four student age groups: 3-5, 6-12, 13-15, and 16-21. (See Appendix E, Table E.3.) There were no patterns of significant differences across age groups for any of the various categories of school personnel. For ancillary personnel the participation rate in IEPs for ages 16-21 was greater than for ages 3-5. These results are consistent with those in the Basic Survey population.

2. Severity of Handicap

There were no patterns of statistically significant differences in the participation rates for various categories of school personnel when students were classified by mild, moderate, and severe levels of handicap. This is consistent with results for the Basic Survey population. (See Appendix E, Table E.4.)

II. HOW DID PARENTS AND STUDENTS PARTICIPATE IN THE IEP PROCESS?

A. State/Special Facility Population Compared with the Basic Survey Population

Fifty percent of the IEPs prepared for students in state/special facilities included specific indication of the participation of a parent, guardian, or surrogate, while 48 percent of the IEPs were signed by one of these three.[3] (See Appendix E, Table E.1.) Teachers in the teacher survey indicated that

[3] P.L. 94-142 does not require that the IEP be signed by the student's parent, guardian, or surrogate.

80 percent of the parents or guardians signed and/or verbally approved the IEPs and that none of the parents indicated their refusal to approve an IEP. (See Appendix E, Table E.5.)

Teachers also indicated that 83 percent of the parents or guardians did discuss the completed IEP with the teacher or other school personnel and that 66 percent of the parents met with the IEP committee to discuss the developed IEP. Because the intent of P.L. 94-142 was to involve parents in the actual development of the student's program, teachers were asked whether or not the parents or guardians provided input during the IEP meetings that they attended. The teachers indicated that, for 60 percent of the IEPs, a parent or guardian attended the IEP development meeting and presented input during the meeting. Therefore, parents did not have input in the remaining 40 percent, and, as in the Basic Survey population, a serious question can be raised about the extent of parent participation during the development of IEPs in the State/Special Facility population.

Six percent of the IEPs developed for the State/Special Facility population included indication of the participation of the handicapped student, and three percent had a student signature. (See Appendix E, Table E.1.) Teachers, on the other hand, indicated that 21 percent of the students had discussed their IEPs with school personnel and that 11 percent participated and provided input into the IEP process. (See Appendix E, Table E.5.) Although the levels of student participation reported by teachers are encouraging relative to those indicated on IEPs, they are not high enough to enable an affirmative answer to the question of whether the regulations of P.L. 94-142 are being met in terms of student participation whenever "appropriate." This problem is shared with the Basic Survey population.

Although the results for the State/Special Facility and Basic Survey populations were generally similar with regard to parent and student participation rates, there were statistically significant differences in some areas. Comparisons of the participation and signing rates of parents in the State/Special Facility population and Basic Survey population showed mixed results. Results from the IEP itself and from the teacher survey were consistent in showing that there were no statistically significant differences in signature and verbal approval rates. (See Appendix E, Table E.1 and E.5.)

However, results on the rates of parent participation in the process of developing the IEP were conflicting. Results from the IEP itself indicated

parent participation 63 percent of the time in the Basic Survey population and 50 percent of the time in the State/Special Facility population. Results from the teacher survey indicated the reverse: greater participation by parents in the State/Special Facility population than in the Basic Survey population. Teachers reported that parents discussed the completed IEP with a school representative more often in state/special facilities (83 percent versus 76 percent) and that parents met more often with the IEP committee to discuss the completed IEP (66 versus 55 percent). The results also suggested that parents of students in state/special facilities may have provided input more often during the development of the IEP (60 versus 49 percent).

Based on results from the IEP, parent participation in state/special facilities was less than in either regular or special schools. Results from the teacher survey suggested that parent participation was greater in state/special facilities than in regular schools but was not significantly different from that in special schools.

Comparisons of the participation and signing rates for students, as indicated in the IEPs, revealed no differences for the State/Special Facility and Basic Survey populations. However, while results from the teacher survey showed no significant differences in the percent of students who met with the IEP committee, they did reveal that more students (35 percent) in the Basic Survey population discussed their completed IEPs with school representatives than in the State/Special Facility population (21 percent). In this regard, student participation in state/special facilities was similar to that of students in special schools (24 percent) and less than that of students in regular schools (36 percent). (See Appendix E, Tables E.1 and E.5.)

B. Variation by State/Special Facility Subpopulations

The participation of parents and students in the development and approval of IEPs was analyzed for subpopulations within two reporting variables: student age and severity of student handicap. From information in the IEPs, comparisons were made for participation, but not for signing. From the teacher survey, comparisons were made for the affirmative teacher responses to the questions displayed in Table 5.5 and Appendix Table E.5.

1. Student Age Levels

Parent participation in developing the IEP was examined across the four age groups: 3-5, 6-12, 13-15, and 16-21. (See Appendix E, Tables E.3 and

E.6.) Data from the teacher survey are displayed in Table 5.5, which presents the percents of teachers' affirmative responses to several questions. Analysis of statistically significant differences reveals that parents of 3-5 year olds participated more in the development of IEPs than parents of other students. Although the percent of participation generally declined as the age of the student increased, large standard errors prevent the drawing of the conclusion that there is a definite trend for less parent participation as student age increases, which was strongly concluded from the results for the Basic Survey population. (See Appendix E, Table E.6.)

Table 5.5

TEACHERS' AFFIRMATIVE RESPONSES CONCERNING THE NATURE OF PARENT PARTICIPATION IN THE STATE/SPECIAL FACILITY IEP DEVELOPMENT, BY STUDENT AGE

Nature of Participation	Percent of Teachers' Affirmative Responses				
	3-5	6-12	13-15	16-21	Total
Did a parent or guardian approve by signing?	93	70	70	59	69
Did a parent or guardian discuss the completed IEP with school personnel?	96	89	78	74	83
Did a parent or guardian meet with the IEP committee?	90	68	62	59	66
Did a parent or guardian participate in the development of the IEP?	90	58	62	51	60

Analysis of information in the IEP itself revealed no statistically significant trend for degree of participation by parents, guardians or surrogates across age levels.

Student participation across the four age levels also was examined from both data sources. No trend could be detected from data in actual IEPs because only six percent of the IEPs included indication of student participation across all age groups. (See Appendix E, Table E.3.)

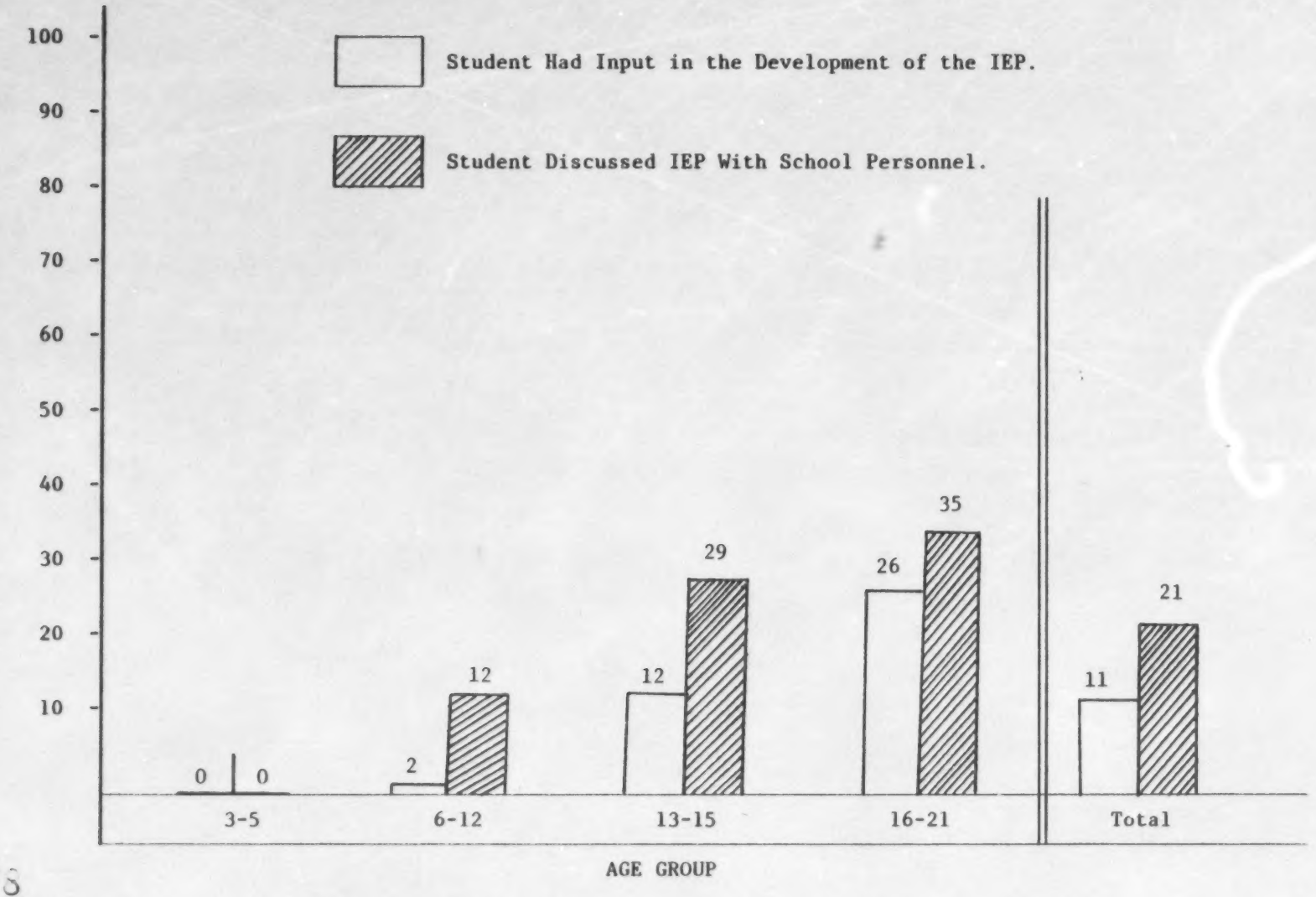
When teachers' responses to questions about student participation in developing IEPs were analyzed by age of the handicapped student, a pattern of

more student participation with increased age was suggested. Figure 5.1 shows that none of the 3- to 5-year-old children discussed their IEPs with school personnel and that none attended or participated in the development of the IEPs during the meetings, while 12 percent of the 6-12 year olds discussed their IEPs with school personnel and 2 percent participated in the meetings. However, 29 percent of the 13-15 year olds and 35 percent of the 16-21 year olds discussed their IEPs with their teachers; and 12 percent of the former and 26 percent of the latter participated in the meetings. This pattern was not as strong as in the Basic Survey population. Although the percents for student input into development of the IEP were not statistically different at each age level in the State/Special Facility and Basic Survey populations, the percents for student discussion of the completed IEP with school personnel were lower at each age level for the students in state/special facilities. (See Appendix E, Table E.6.)

When teacher survey data concerning parent and student participation are considered together, there is some suggestion of a pattern of increased student and decreased parent participation in developing IEPs in state/special facilities as students get older. This pattern is similar in direction to that found in the Basic Survey population, but it is not as definite. As in the Basic Survey population, this pattern may reflect both the growing independence of older handicapped students and the changing perceptions of school personnel and parents toward student involvement in the development of their IEPs as they grow older.

2. Severity of Student Handicap

The results on student participation across mild, moderate, and severe levels of handicapping condition suggested that students with severe levels may have participated more often in the development of their IEPs than students with mild levels. These results were consistent from indications on the IEP itself and from teacher response to the question about student participation in meeting with the IEP committee during development of the IEP. This pattern was not true for teacher response to the question concerning the student discussing his or her IEP with a school representative, for which there were no statistically significant differences. This was somewhat different from the results for the Basic Survey population, in which no significant differences were found across severity levels. (See Appendix E, Tables E.4 and E.7.)



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79

Figure 5.1. Percent of Student Participation in IEP Development for Students in State/Special Facilities According to Teacher Response, by Age Level.

No definite patterns were found in the results for parent participation across severity levels, either in the IEPs themselves or in the findings of the teacher survey. The results from the teacher survey suggested that parent participation might be less for parents of students with severe levels than for those with moderate levels of handicapping condition. Again, this was somewhat different from the Basic Survey population, in which results suggested the possibility of more parent participation as the severity level increased. (See Appendix E, Tables E.4 and E.7.)

III. PARTICIPATION OF MANDATED PERSONNEL IN THE DEVELOPMENT OF IEPs

A. Basic Survey Population

Three types of persons were mandated by P.L. 94-142 to be included in IEP committees: teachers, LEA administrative representatives, and parents or guardians. Based upon information in the IEPs developed for students in state/special facilities, only 21 percent list at least one representative from each of these categories as participants, and only 14 percent list one or more of them as signers. (See Appendix E, Table E.1, Category 7.) More IEPs in the Basic Survey population listed at least one representative from each of these three mandated categories as participants and signers (36 percent and 28 percent respectively). Participation rates for these three mandated areas were very similar for regular and special schools, and both were significantly greater than in state/special facilities. (See Appendix E, Table E.2, Category 7.)

Although being named in the IEP as a participant in the IEP process is a relatively good index of participation, there are three basic reasons for assuming that participation rates based on IEP data probably are underestimates and do not reflect all those who actually participated in the development of the IEP: (1) P.L. 94-142 does not require that participants be identified in the IEP and consequently, it is likely that such information is excluded, e.g., some schools require that the parent sign a separate approval form which is neither included as a part of the IEP nor filed with it; (2) further identification of the specific titles of those persons in the "other" category might increase the number of persons in the mandated categories; and (3) persons with other specific titles, e.g., counselors, could have been participating on

IEP committees as LEA administrative representatives. All factors considered, however, these figures suggest a relatively low rate of participation by those mandated to participate.

B. Variation by Subpopulations

The percent of IEPs listing at least one member from each of the three mandated categories as participants was analyzed for subpopulations within two reporting variables: student age and severity of student handicap. Comparisons were made for participation but not for signing.

1. Student Age Levels

Comparisons were made across the four student age levels. The results suggested that at least one member from each of the three mandated categories may have served as participants on the IEP Committee of state/special facility students more often at the younger age levels (3-5 and 6-12) than the older age levels (13-15 and 16-21). (See Appendix E, Table E.3.) This is somewhat different from results in the Basic Survey population where no differences were found across age groups.

2. Severity of Student Handicap

No pattern was found in the differences in participation rates when students were classified by mild, moderate, and severe levels of handicapping condition. However, results suggested that at least one representative from each of the three mandated categories may have been represented more often in the IEPs of the moderately handicapped than the severely handicapped. (See Appendix E, Table E.4.) This result was somewhat different from the Basic Survey population, in which there was the suggestion of greater participation of all mandated personnel as the severity level increased.

IV. SUMMARY

This chapter dealt with the questions: Who participates in the development of IEPs? Who signs and approves IEPs? Data from IEPs and from a questionnaire administered in a teacher survey were used to discuss the nature and degree of participation by school (or facility) personnel, parents, and students in developing and approving IEPs. The proportion of IEPs developed by committees that included all personnel mandated by P.L. 94-142 also was discussed,

as were the variations in participation among subpopulations defined by student age and severity of the handicapping condition.

Seventy-three percent of the State/Special Facility IEPs listed at least one participant, and 67 percent included at least one signature. For all IEPs with at least one participant listed, the mean number of participants was 4.1; and for all IEPs with at least one signature, the mean number of signatures was 3.3.

A significantly greater percent of IEPs in the Basic Survey population listed at least one participant (92 percent) and included at least one signature (82 percent) than in the State/Special Facility population. However, there were no statistically significant differences between the State/Special Facility and Basic Survey populations in the mean numbers of participants and signers for IEPs with at least one participant or signer.

At least one representative from the category of teacher or therapist was identified as a participant on 62 percent of the State/Special Facility IEPs. At least one representative from the administrative category participated in developing 36 percent of the IEPs, and ancillary personnel (e.g., school psychologists and counselors) were indicated as participants on 14 percent of the IEPs. Individual types of personnel most often identified as participants were speech or language therapists (18 percent), principals (14 percent), and representatives from the LEA with which the student is affiliated (14 percent).

All three categories of personnel--teacher or therapist, administrative, and ancillary personnel--were listed in a larger percentage of Basic Survey IEPs than State/Special Facility IEPs. However, for all IEPs with at least one participant listed, there were no significant differences between the Basic Survey and State/Special Facility populations in the mean numbers of participants by category of personnel.

Information in IEPs indicated that parents (or guardians or surrogates) participated in developing 50 percent of the State/Special Facility IEPs and that they signed 48 percent of them. Results from the teacher survey indicated that 80 percent of the parents signed and/or verbally approved State/Special Facility IEPs and that fewer than one percent refused to approve an IEP. Teachers also indicated the following about parent participation: 83 percent discussed the completed IEP with school personnel; 66 percent met with the IEP committee to discuss the developed IEP; and 60 percent provided inputs to the IEP committee during development of the IEP. As in the Basic Survey population,

a serious question can be raised about the extent of parent participation during the development of IEPs in State/Special Facilities, because teachers reported that parents did not have input in 40 percent of the IEP committees.

Student participation or approval was indicated on six percent of the State/Special Facility IEPs. Teachers, on the other hand, stated that 21 percent of handicapped students had discussed their IEPs with school personnel and that 11 percent provided input during the IEP process. Although the degree of student participation reported by teachers was encouraging relative to that indicated in the IEP, it was not high enough to enable an affirmative answer to the question of whether the regulations of P.L. 94-142 are being met in terms of student participation where "appropriate." This problem is also shared with the Basic Survey population.

There was the suggestion of a pattern of increased student and decreased parent participation in developing IEPs for state/special facility students, as their age increases. Results from the teacher survey showed that while none of the students in the 3-5 age range discussed their IEPs with school personnel, 35 percent of the 16-21 year olds had such discussions. Likewise, while none of the students in the 3-5 age range had input to the IEP committee, 26 percent of the 16-21 year olds had input. This pattern was similar in direction to that found in the Basic Survey population, but it was much stronger in the Basic Survey population.

The results on student participation across mild, moderate, and severe levels of handicapping condition suggested that students with severe levels may have participated more often in the development of their IEPs than students with mild levels. These results were consistent from indications on the IEP itself and from teacher response to the question about student participation in meeting with the IEP committee during development of the IEP. This was somewhat different from the results for the Basic Survey population, in which no significant differences were found across severity levels.

The results gathered from IEPs about parent participation across severity levels did not reveal definite patterns, but results from the teacher survey suggested that parent participation might be less for parents of students with severe levels than for those with moderate levels of handicapping condition. Again, this was somewhat different from the Basic Survey population, in which results from both data sources suggested the possibility of more parent participation as the severity level increased.

Only 21 percent of the State/Special Facility IEPs listed one or more participants from each of the three categories of participants mandated by P.L. 94-142 to be in the IEP committees: teacher, administrator, and parent. And only 14 percent of the IEPs listed one or more signers from each of the three categories. More IEPs in the Basic Survey population than in the State/Special Facility population listed at least one representative from each of these three mandated categories as participants and signers. As in the Basic Survey population, these figures suggest a relatively low rate of participation by those mandated to participate, even though they probably are underestimates of the actual percents of participants and signers in these mandated categories.

Comparisons across the four student age levels suggested that at least one member from each of the three mandated categories may have served as particpants on the IEP Committee of state/special facility students more often at the younger age levels (3-5 and 6-12) than the older age levels (13-15 and 16-21). This is somewhat different from results in the Basic Survey population where no differences were found across age groups.

Analysis of results across mild, moderate, and severe levels of handicapping condition revealed no overall trend. These results differ somewhat from those obtained for the Basic Survey population, for which there was the suggestion of greater participation of all mandated personnel as the severity level increased.

Chapter 6

What Types of Special Education and Related Services Are Specified in State/Special Facility IEPs?

This chapter provides information regarding the types of special education and related services that are specified in IEPs. Generally, special education services were specified in IEPs in the form of statements of need, goals, and objectives, following the mandate provided by the law and regulations. Related services, on the other hand, most frequently were indicated in more general descriptive terms in some part of the document other than where needs, goals, and objectives were located. As a result, they are considered in a separate section of this chapter.

Special education services include at least two main types of activities. The first is assessment and the second is educational programming based on assessment. The assessment service, or the result of it, typically was indicated in the IEP in the section on present level of functioning. The assessment information often focused on both the strengths and weaknesses of a student. Strengths generally were indicated in terms of statements of normal, or better than normal, functioning. Weaknesses generally were listed as statements of need for specific kinds of educational programming.

The first section of this chapter includes a description of the types of assessment services that were indicated in IEPs under the heading of "present level of functioning." The extent to which data were provided to support statements about present level of functioning is included in the second section. The third section provides a description of special education programming as indicated by goal statements. Special education programming indicated by short-term objectives is presented in the fourth section. The types of related services indicated in IEPs are discussed in the fifth section of this chapter. Detailed descriptive statistics and associated standard errors for the results summarized in this chapter are referenced and presented in Appendix F.

For purposes of describing the provision of special education services, thirteen different academic and functional areas were defined: (a) reading or oral or written English; (b) mathematics; (c) other academic; (d) social adaptation; (e) self-help skills; (f) emotional; (g) physical education;

(h) motor skills; (i) speech; (j) visual acuity; (k) hearing; (l) vocational/prevocational; and (m) other.

The distinction between these areas generally is clear. Possible exceptions are the distinction between social adaptation and emotional, and between physical education and motor skills. Generally, the distinction was based on statements within the IEP. That is, if the IEP referred to a goal or objective as a "social adaptation" goal or objective, it was accepted as such. Where such distinctions were not made in the IEP, emotional was interpreted to apply to cases of severe pathology (e.g., "student bites and scratches teacher," or "student often inflicts self-injury"), while social adaptation was interpreted to apply to developmental aspects (e.g., "student doesn't respond to teacher's directions," or "student doesn't get along well with peers"). Physical education was considered to refer to educational considerations such as learning to participate in sports and games, while motor skills were considered to apply to such factors as functional coordination.

I. ACADEMIC AND FUNCTIONAL AREAS IN WHICH ASSESSMENT SERVICES WERE INDICATED IN THE PRESENT LEVEL OF FUNCTIONING SECTION OF IEPs

One of the requirements of an IEP is that it contain information about the student's present level of functioning. Present-level-of-functioning information should document the assessment of the student both in terms of strengths and weaknesses in order to better contribute to the development of a full program of services for the student.

The general question addressed in this section was: To what extent do IEPs contain information about strengths and weaknesses? To answer this question, each IEP collected in the survey was examined to determine whether or not it contained some indication of the student's level of functioning in one or more of the thirteen academic or functional areas. While this type of information typically was included under a "present level of functioning" heading, the search for such information was not limited to this type of response. This information also was found under such headings as "comments," "objectives already mastered," "strengths and weaknesses," and "reasons for placement." Statements such as "needs to improve in reading," "doesn't get along well with other children," or "is emotionally mature for his age" were considered as appropriate indications of level of functioning.

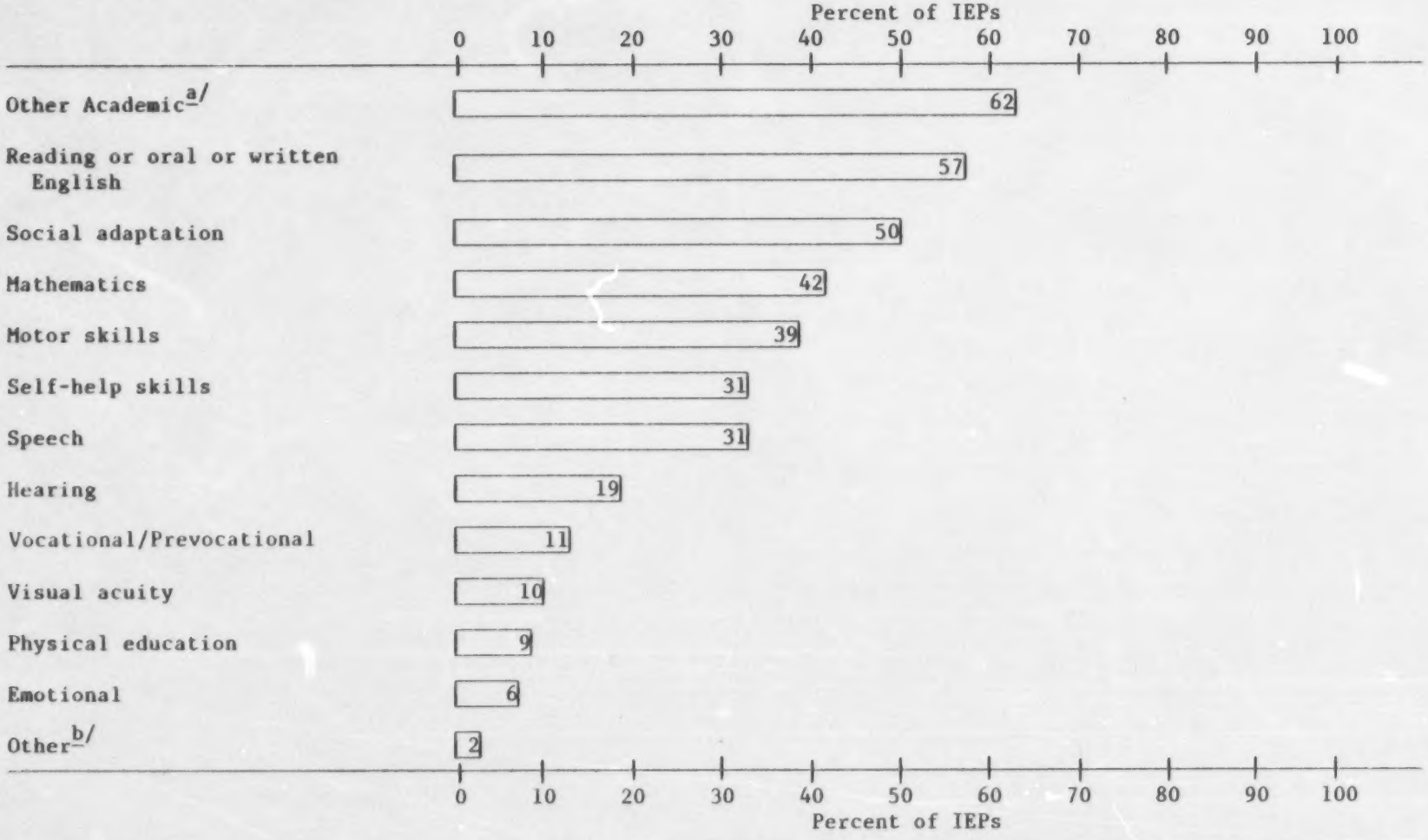
Based on the level-of-functioning information contained in the IEP, an indication was made as to whether a strength (normal functioning or above) and/or weakness (deficiency) was indicated in the associated academic or functional area. In cases where supporting data were listed in the IEP, these supporting data were used in making this determination.

Figure 6.1 shows the proportion of IEPs that contained present-level-of-functioning information in the various academic or functional areas. The largest proportions of IEPs provided information in the academic areas of other academic (62 percent) and reading/English (57 percent). Fifty percent of the IEPs specified level-of-functioning information in social adaptation and 42 percent in mathematics. Present-level-of-functioning information was specified for motor skills in 39 percent of the IEPs and for speech and self-help skills in 31 percent. None of the remaining academic or functional areas had level-of-functioning data specified in more than 20 percent of the IEPs. (See Appendix F, Table F.1.)

The percents of IEPs that indicated a need or a strength in each of the academic/functional areas are shown in Table 6.1. IEPs generally contained more information about needs than strengths. A significantly larger proportion of IEPs contained statements of need than strength in three areas (reading, other academic, and speech), and results suggested more statements of need than strength in two other areas (hearing and emotional). (See Table F.1, Appendix F.)

The fact that the percents in the "need" column of Table 6.1 do not equal those in Figure 6.1 indicates that need information was not included in 100 percent of the level-of-functioning statements. This finding should not be interpreted as a negative finding since it is reasonable to expect that needs would not be found in all academic or functional areas that were assessed. Also, it is important to note that any given IEP might contain both statements of need and statements of strength in a single functional area. For example, with reading, it may be stated that a student's vocabulary was at a normal level, but he/she needed help in comprehension, thus indicating both strengths and weaknesses.

It is not surprising that needs generally were stated more frequently than strengths, since P.L. 94-142 specifies that the statement of present level of functioning should provide a clear statement of the student's special



a/ Includes the combined academic areas of science, social science, general academic, and other academic.

b/ Includes such functional areas as general physical health, kinesthetic or perceptual skills.

Figure 6.1. Proportion of State/Special Facility IEPs That Contain a Statement of Present Level of Functioning, by Academic and Functional Areas

Table 6.1

PROPORTION OF STATE/SPECIAL FACILITY IEPs THAT INDICATE NEEDS AND STRENGTHS, BY ACADEMIC AND FUNCTIONAL AREAS

Academic or Functional Area	Percent of IEPs with Statement of:	
	Need	Strength
Reading or oral or written English	51	31
Mathematics	36	23
Other academic[a/]	52	30
Social adaptation	39	34
Self-help skills	25	20
Emotional	5	1
Physical education	6	7
Motor skills	29	24
Speech	29	15
Visual acuity	6	4
Hearing	14	7
Vocational/Prevocational	8	9
Other[b/]	14	9

a/ Includes the combined academic areas of science, social science, general academic, and other academic.

b/ Includes such functional areas as general physical health, kinesthetic or perceptual skills.

educational and related needs.[1] The listing of both strengths and weaknesses is helpful both to those who review the IEPs and to those who carry out the student's program. By taking both strengths and weaknesses into account, goals and objectives can be focused more specifically on areas of need. Also, information about strengths can be used by teachers to determine better strategies by which to work with the student. It should also be noted that the presence of data on strengths in the IEPs is especially significant since the IEP format typically did not require it, and the positive relationship between format and content has been clearly established in Chapter 4.

The extent to which statements of level of functioning appeared on IEPs was analyzed for students in state/special facilities and in regular and special schools in the Basic Survey population. For 6 of the 13 academic/functional areas the frequency with which level-of-functioning information was found in IEPs was greater in IEPs prepared in state/special facilities and special schools than in those prepared in regular schools. The six areas were: social adaptation, self-help skills, physical education, motor skills, vocational/prevocational, and other academic. In the "other" category (e.g., general physical health and perceptual skills) the frequency was less in state/special facilities than in either regular or special schools. (See Appendix F, Table F.2.)

Indications of need were found more often in IEPs prepared in state/special facilities and special schools than in regular schools for the following six academic/functional areas: social adaptation, self-help skills, physical education, motor skills, other academic, and other. For the areas of language and mathematics, results suggested that the frequency of indications of need might be lower in IEPs prepared in state/special facilities than in those prepared in either regular or special schools. (See Appendix F, Table F.3.)

Indications of normal functioning, or strengths, were found more frequently in IEPs in state/special facilities and special schools than in regular schools for the following four areas: self-help skills, physical education, motor skills, and other academic. Results also suggested the same pattern for

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[1] "Informal Letter to State Directors of Special Education, State Part B Coordinators, and State P.L. 89-313 Coordinators: Policy Paper on Individualized Education Programs (IEPs)." DAS Information Bulletin, Number 64. Washington, D.C.: Bureau of Education for the Handicapped (USOE, HEW), May 23, 1980.

social adaptation. For speech, results suggested that the frequency of statements of strength was greater in state/special facilities than in either regular or special schools. For visual acuity, the frequency in state/special facilities was significantly less than in regular schools and may have been less than in special schools. (See Appendix F, Table F.4.)

II. ACADEMIC AND FUNCTIONAL AREAS IN WHICH DATA WERE PROVIDED TO SUPPORT PRESENT LEVEL OF FUNCTIONING STATEMENTS

IEPs were examined to determine the extent to which data were provided to support present level of functioning statements. Only objective data (e.g., test scores, documentation of formal observations) were considered to constitute supporting data. Although supporting data are not required by law or regulation, such data can help the user of the IEP to better understand the functioning level of a student and therefore know how to work with the student to increase his/her performance level.

The findings presented in Table 6.2, which were computed from the percents presented in Table F.5 (Appendix F), show that supporting data typically were not included in State/Special Facility IEPs.[2] For example, Table F.5 (Appendix F) shows that 57.1 percent of all State/Special Facility IEPs had a level-of-functioning statement for reading and 19.5 percent of them had supporting assessment data for reading, thus 34 percent of State/Special Facility IEPs had supporting data in reading, given that they had a level-of-functioning statement in reading.

Using as a base only those IEPs that contained information about the students present level of functioning, for only two academic areas were supporting data found in more than 30 percent of the State/Special Facility IEPs: reading or oral or written English (34 percent) and mathematics (38 percent). The other areas for which supporting data were found in at least 20 percent of those IEPs that had a statement related to the student's present level of functioning were vocational/prevocational, speech, hearing, and

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[2] Note that general physical health was separated from the "other" category for purpose of this discussion. Although it is appropriate to discuss the inclusion of supporting data for statements about general physical health, it does not make sense to define general health as a specific functional area for which special services are provided.

Table 6.2

PROPORTION OF STATE/SPECIAL FACILITY IEPs WITH PRESENT-LEVEL-OF-FUNCTIONING STATEMENTS THAT CONTAIN SUPPORTING DATA

Academic or Functional Area With Level-of-Functioning Statement	Percent With Supporting Data[a/]
1. Mathematics	38
2. Reading or oral or written English	34
3. General physical health[b/]	3
4. Speech	20
5. Other academic[c/]	17
6. Hearing	20
7. Visual acuity	6
8. Motor skills	6
9. Other[b/]	27
10. Physical education	8
11. Self-help skills	11
12. Vocational/Prevocational	23
13. Emotional	2
14. Social adaptation	10

a/ Percents are based on IEPs that contained level-of-functioning information--see Figure 6.1.

b/ For purposes of this table, general physical health was removed as a separate category from the "other" category. About 11.1 percent of the IEPs had a statement of present level of functioning in this area.

c/ Includes the combined areas of science, social science, general academic, and other academic.

"other." Supporting data for 8 of the 14 areas listed in Table 6.2 were found in fewer than 20 percent of the IEPs.

The variation that existed between functional areas in the extent to which supportive data were listed in IEPs was probably due to differences in the availability of testing instruments. For example, many more standard testing instruments are available in reading and mathematics than in the area of social adaptation, so it is much easier to provide supporting data in reading and mathematics.

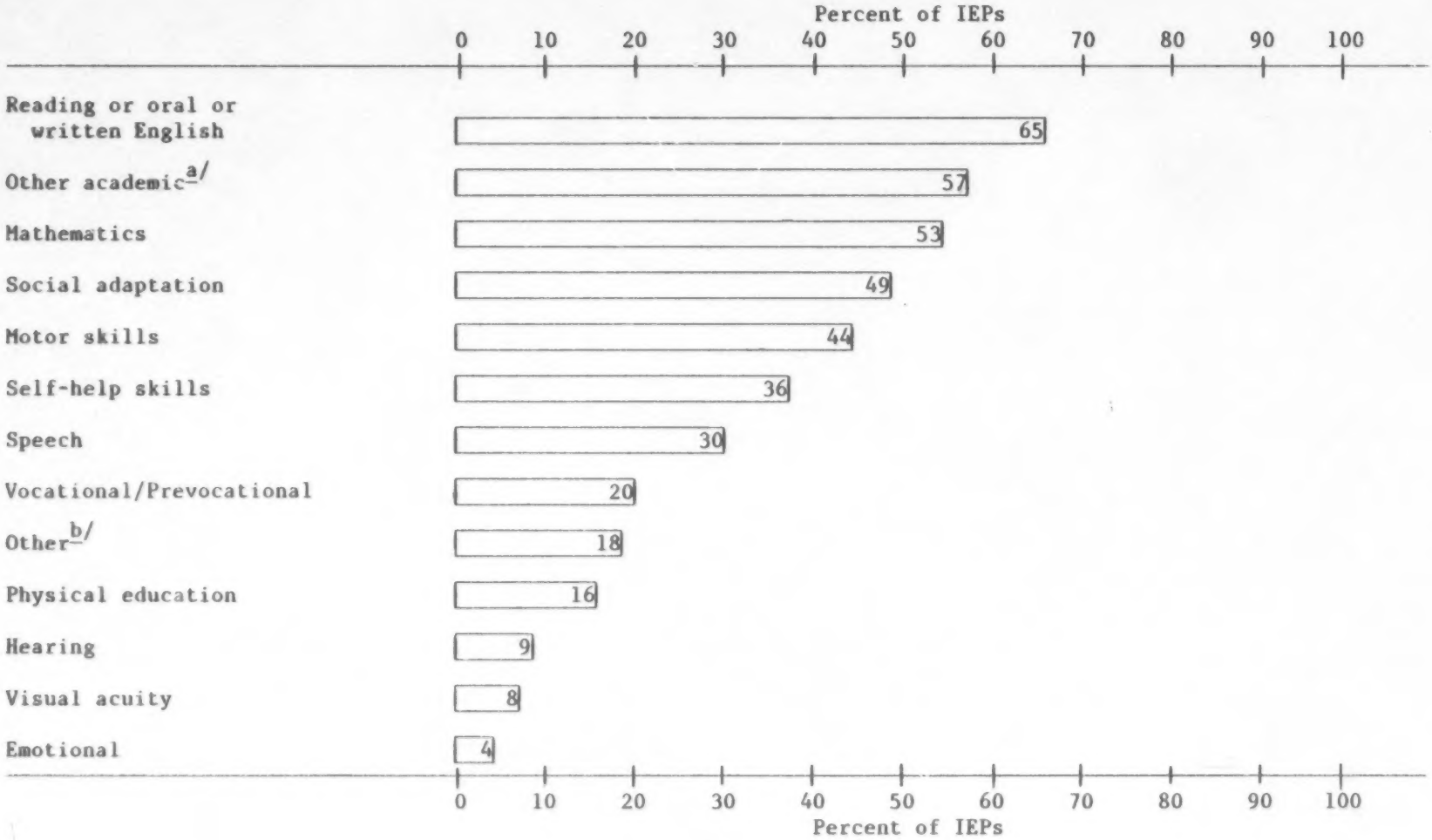
These findings can be viewed from another perspective. That is, they show that, while not required, many IEPs contained supporting information about level of functioning in the different academic and functional areas. This is perhaps one indicator of an attempt to comply with the spirit of the law.

III. ACADEMIC AND FUNCTIONAL AREAS IN WHICH EDUCATIONAL PROGRAMMING IS INDICATED BY AT LEAST ONE GOAL STATEMENT

Since goal statements are indicators of the types of educational programming that a student is expected to receive in a particular academic or functional area, IEPs were examined to determine the extent to which goal statements were listed in the various academic and functional areas. This section reports on the proportion of IEPs that contained at least one goal statement in various academic or functional areas.

Figure 6.2 shows the percent of state/special facility students who received educational programming in various academic and functional areas, as reflected by the existence of at least one goal statement. There was at least one annual goal statement for reading in 65 percent of the IEPs, and over half of the IEPs had at least one goal statement for mathematics or other academics. In addition, 30 percent or more of the IEPs had at least one goal statement in social adaptation, motor skills, self-help skills, or speech.

In 7 of the 13 areas, a greater proportion of IEPs in both state/special facilities and special schools contained at least one annual goal than did IEPs in regular schools: social adaptation, physical education, vocational/prevocational, self-help skills, motor skills, other academics, and "other." In two of these areas (motor skills and other academics), results also suggested that the proportion in state/special facilities was higher than that in



a/ Includes the combined academic areas of science, social science, general academic, and other academic.

b/ Includes such functional areas as general physical health, kinesthetic or perceptual skills.

Figure 6.2. Percent of State/Special Facility IEPs Containing at Least One Goal, by Functional Area.

special schools. For the emotional area the proportion in state/special facilities was higher than the proportions in both regular and special schools, which were similar. (See Appendix F, Table F.6.)

IV. ACADEMIC AND FUNCTIONAL AREAS IN WHICH EDUCATIONAL PROGRAMMING IS INDICATED BY AT LEAST ONE SHORT-TERM OBJECTIVE

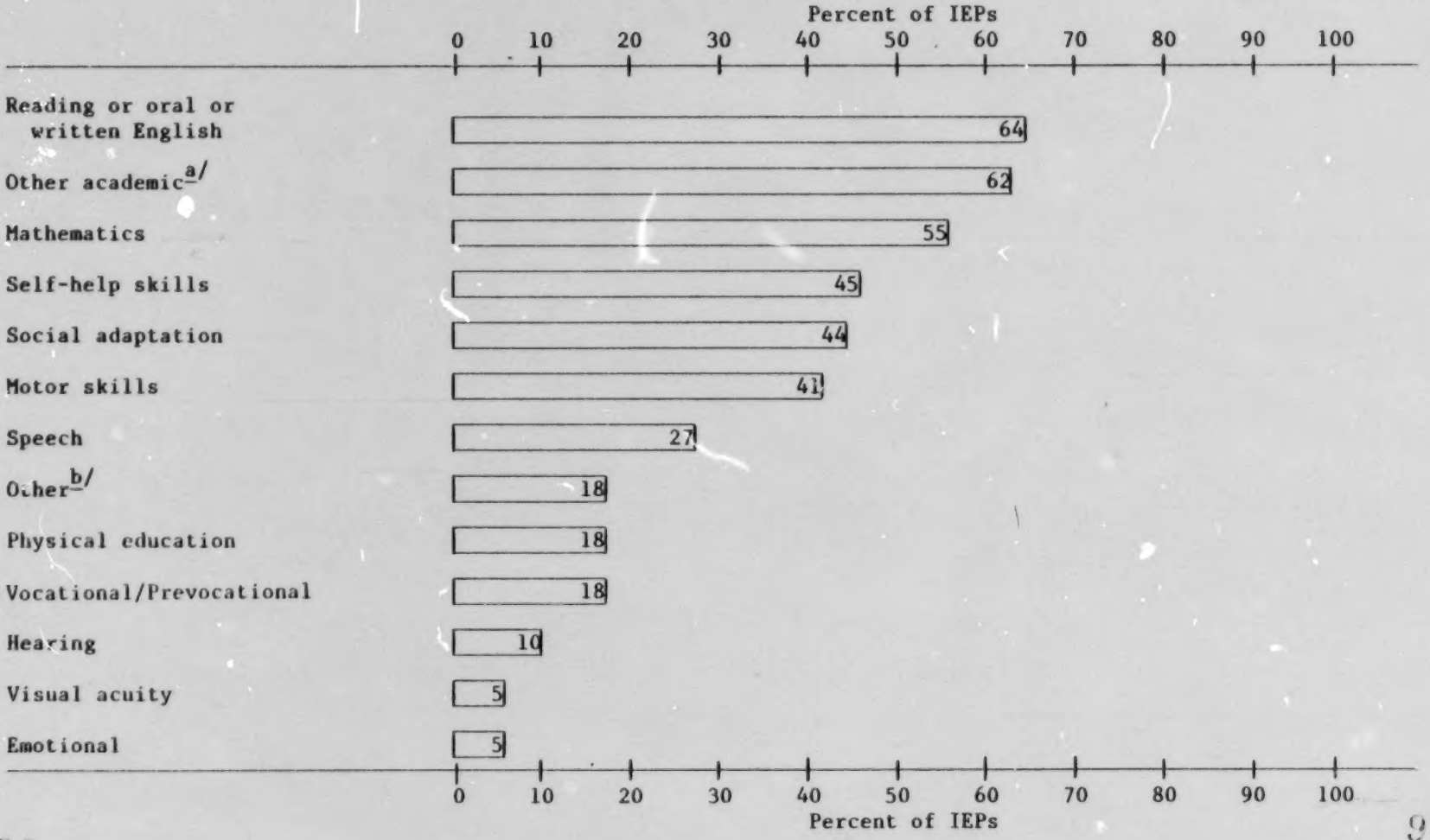
Short-term objectives, like goals, also serve as indicators of the kinds of educational programming a student is to receive. Theoretically, they are more specific than goals, and frequently a series of short-term objectives represents how a goal is to be achieved. IEPs were examined to determine how many of them contained at least one short-term objective in the various academic and functional areas.

A. State/Special Facility Population Compared with Basic Survey Population

Figure 6.3 displays the percents of IEPs which contain at least one short-term objective in the 13 different functional areas. A comparison of Figures 6.3 and 6.2 shows that the distributions of goals and objectives over functional areas are very similar. This "good fit" between the two distributions suggests that preparers of IEPs were consistent in specifying at least one objective in those academic or functional areas for which a goal was stated.

Figure 6.3 shows that reading or oral or written English was the predominant area in which special education services were provided. Sixty-four percent of the IEPs contained at least one short-term objective in this area. The next highest area was other academic, with 62 percent of the IEPs containing at least one short-term objective in this area. The third highest area was mathematics, in which 55 percent of the IEPs contained at least one short-term objective. In addition, there were three other areas which contained at least one short-term objective in 40 percent or more of the IEPs: self-help skills, social adaptation, and motor skills.

The least amount of special education service was indicated in the emotional, hearing, and visual acuity areas, in which 10 percent or less of the IEPs contained short-term objectives. These low frequencies may be due to the nature of the areas. They do not lend themselves to short-term objective statements.



a/ Includes the combined academic areas of science, social science, general academic, and other academic.

b/ Includes such functional areas as general physical health, kinesthetic or perceptual skills.

Figure 6.3. Percent of State/Special Facility IEPs Containing at Least One Short-Term Objective, by Functional Area.

For 7 of the 13 academic or functional areas, a greater proportion of IEPs in both state/special facilities and special schools contained at least one short-term objective than did IEPs in regular schools: social adaptation, self-help skills, physical education, other academic, motor skills, vocational/prevocational, and other. For one of these areas, other academic, results for state/special facility IEPs was also greater than special schools. In addition, for the emotional area, results for state/special facilities were greater than either regular or special schools, which had similar results. (See Appendix F, Table F.7.)

If it can be assumed that students placed in state/special facilities and special schools need more special education services, then the survey demonstrates that they are receiving them in most academic/functional areas.

B. Variation by Age Level

Definite trends across age levels for the distribution of IEPs with at least one short-term objective were found in only two areas. For motor skills, there were fewer IEPs with at least one short-term objective at the older age levels (13-15 and 16-21) than at the younger levels (3-5 and 6-12). For the vocational/prevocational area the percent of IEPs with at least one short-term objective increased as age increased. (See Appendix F, Table F.8.) These results were reasonably consistent with those in the Basic Survey population.

V. RELATED SERVICES

This section presents the results of the survey as they relate to the provision of related services to handicapped students. For purposes of this discussion, related services include audiology, counseling, medical services, occupational therapy, parent counseling and training, physical therapy, psychological services, recreation, social work services, transportation, and other.

One or more services were indicated in 35 percent of the State/Special Facility IEPs. Seventeen percent listed only one related service. Six percent specified two related services, about three percent indicated a need for three related services, and four related services were noted in about eight percent of the IEPs. Only one percent of the State/Special Facility IEPs specified

the provision of five or more related services. (See row totals in Table F.9, Appendix F.)

The most frequently listed related service was transportation, with about 16 percent of all IEPs listing this service. The next highest were counseling and psychological services, which were indicated on nine and eight percent of the IEPs, respectively. Another seven percent of IEPs listed each of the categories, audiology and physical therapy. Four percent listed each of the two categories, recreation and occupational therapy. Medical services (e.g., eye exams, physical exams, medication, and nursing care) were mentioned in two percent of the IEPs, while social work services were noted on one percent of the IEPs. Eighteen percent listed other related services, which included such services as tutoring, dental services, and vocational rehabilitation. (These percents total more than 35 percent, the percent of students with IEPs that specified related services, because multiple services were specified on some IEPs; see row totals of Table F.10, Appendix F.)

A significantly larger percent of the IEPs for students in state/special facilities (35 percent) specified the provision of one or more related services than did the IEPs of students in regular schools (12 percent), and results suggested this may be greater than in special schools (23 percent). (See Appendix F, Table F.9.)

Transportation was the most frequently listed related service in state/special facilities, regular schools, and special schools; however, it was listed more often in state/special facilities (16 percent) and special schools (14 percent) than in regular schools (5 percent). Physical therapy and occupational therapy also were listed more often in both state/special facilities and special schools than in regular schools. (See Appendix F, Table F.10.)

VI. SUMMARY

The types of special education and related services that were contained in State/Special Facility IEPs were examined in this chapter. Special education services were defined to include both assessment and educational programming. Assessment services were indicated through statements about level of functioning, including both strengths and weaknesses. Educational programming was indicated through goals and short-term objectives. Thirteen academic and functional areas were defined for the purpose of describing these services.

The largest proportions of State/Special Facility IEPs provided information about the present level of functioning in the academic areas of reading/English (57 percent) and other academic (62 percent). Fifty percent of the IEPs specified the information in social adaptation and 42 percent in mathematics. Present-level-of-functioning information was specified for motor skills in 39 percent of the IEPs, and for speech and self-help skills in 31 percent. None of the remaining academic or functional areas had level-of-functioning data specified in more than 20 percent of the State/Special Facility IEPs. For 6 of the 13 academic/ functional areas, the frequency with which level-of-functioning information was found in IEPs prepared in state/special facilities and special schools was greater than in IEPs prepared in regular schools. In one area the frequency was less in state/special facilities than in either regular or special schools.

Statements about functioning level were analyzed to determine the extent to which they included statements about needs and statements about strengths. While need statements appeared with greater frequency in most of the functional areas, strengths were listed with considerable frequency. In general, statements of both needs and strengths were found more frequently in IEPs prepared in state/special facilities and special schools than in IEPs prepared in regular schools.

The extent to which State/Special Facility IEPs contained supporting data for statements about present level of functioning also was explored. Using as a base only those IEPs that contain information about the students present level of functioning, supporting data were found in more than 30 percent of the State/Special Facility IEPs in two areas: reading/English (34 percent) and mathematics (38 percent). Supporting data were found in at least 20 percent of IEPs for four other areas.

Goal statements are one indicator of the types of educational programming that a student is expected to receive. There was at least one annual goal statement for reading/English in 65 percent of the IEPs, and over half of the IEPs also had at least one goal statement for mathematics and other academics. In addition, 30 percent or more of the IEPs had at least one goal statement in four other academic/functional areas. In 7 of the 13 areas, a greater proportion of IEPs in both state/special facilities and special schools contained at least one annual goal than did IEPs in regular schools. For an eighth area

the proportion in state/special facilities was higher than the proportions in both regular and special schools.

Short-term objectives, like goals, also were considered as indicators of special education programming. There was at least one short-term objective for reading/English in 64 percent of the State/Special Facility IEPs, for other academics in 62 percent, and for mathematics in 55 percent. In addition, 40 percent or more of the State/Special Facility IEPs contained at least one short-term objective for three other areas. For 7 of the 13 academic or functional areas, a greater proportion of IEPs in both state/special facilities and special schools contained at least one short-term objective than did IEPs in regular schools. For an eighth area the proportion for state/special facilities was higher than that for either regular or special schools.

Thirty-five percent of the State/Special Facility IEPs indicated the provision of one or more related services. Seventeen percent specified one service, six percent indicated two services, three percent specified three services, eight percent listed four, and one percent listed five or more related services. The most frequently listed related service was transportation, with about 16 percent of all State/Special Facility IEPs listing this service. The next highest were counseling and psychological services, followed by audiology, physical therapy, recreation, and occupational therapy.

A significantly larger percent of the IEPs for students in state/special facilities (35 percent) specified the provision of one or more related services than did the IEPs of students in regular schools (12 percent), and results suggested this may be greater than in special schools (23 percent). Transportation was the most frequently listed related service in state/special facilities, regular schools, and special schools.

Chapter 7

How Informative and Internally Consistent Are State/Special Facility IEPs?

Since extensive data already have been presented in Chapter 4 regarding the extent to which both mandated and non-mandated information are contained in State/Special Facility IEPs, the reader is referred to that chapter for a detailed discussion of the informativeness of IEPs. While informativeness of IEPs is discussed in this present chapter, the primary focus is on internal consistency.

Section I of this chapter discusses the internal consistency of IEPs as determined by the relationship between statements of need, goals, and objectives. Section II references an exploratory study which was undertaken to categorize IEPs by degree of informativeness and internal consistency. Section III presents a brief summary of the findings discussed in the chapter.

I. RELATIONSHIP BETWEEN STATEMENTS OF NEED, GOALS, AND OBJECTIVES

Educational programming, which was specified primarily through the goal statements and short-term objectives listed in the IEPs, should be based on the student's present level of functioning. (As reported in Chapter 3 of Volume IV, Level 2 of the Retrospective Longitudinal Substudy provided strong evidence that the IEP was a good indicator of the services actually received by students.) Thus, the relationship between need statements, goals, and short-term objectives provides an indication of the student's special education needs and what is being done about them through educational programming. A clear statement of need related to a goal, and goals that are in turn related to a group of short-term objectives, provides a reasonable guide to a student's individualized educational program. An IEP which includes these three key types of statements likely communicates the student's needs and planned services to all parties involved in the provision of services to the student. The relationship between these three key types of statements is an excellent indicator of the internal consistency of the IEP.

There should be a consistent relationship between need statements, goals, and objectives. That is, if a need is stated, the IEP also should contain at least one related goal and at least one objective indicating how that goal is to be achieved. Alternatively, each stated goal should be accompanied by need statements and objectives. The same principle applies to short-term objectives. Ten of the 13 academic and functional areas (see Chapter 6) were selected for study. The "other academic" and the "other" areas were excluded because their imprecise definition precluded linking needs, goals, and objectives to specific academic areas; e.g., a linking of needs, goals, and objectives to the "other academic" area could be misleading since the need might be in science while the goals or objectives might apply to social studies. The emotional area was excluded because the number of IEPs containing needs, goals, and/or objectives in that area was so small that findings could be spurious.

Given that an IEP had a need, a goal, or an objective in an academic or functional area, the percent of IEPs with each of the seven possible combinations of these three items was computed. The seven combinations are: (a) a need, a goal, and an objective; (b) only a need and a goal; (c) only a need and an objective; (d) only a need; (e) only an objective and a goal; (f) only a goal; and (g) only an objective.

Table 7.1 lists the selected academic/functional areas and displays the percentages of IEPs containing various combinations of need statements, goals, and objectives. The percentages for each functional or academic area listed in this table are based on the total number of IEPs that contained either a need statement, a goal, an objective, or some combination thereof, for the area. (See Table G.1, Appendix G.)

Good special education practice would be represented in this table if all figures in the extreme left column, labeled "Needs, Goals, and Objectives," were 100 percent. However, the highest percent in this column is only 52 percent, the percent of IEPs that contained statements of needs, goals, and objectives in the area of reading or oral or written English. Only three other areas were "complete" in over 40 percent of the IEPs for which they were applicable--mathematics (44 percent), self-help skills (43 percent), and motor skills (42 percent).

The next column to the right (Needs and Goals Only) shows the percent of IEPs that contained statements of need and goals, but did not contain objectives. This combination occurred most frequently in speech (13 percent).

Table 7.1

PERCENT OF STATE/SPECIAL FACILITY IEPs CONTAINING VARIOUS COMBINATIONS OF NEED STATEMENTS, GOALS, AND OBJECTIVES IN SELECTED FUNCTIONAL AREAS

Academic or Functional Area	Combinations[a]							Totals[b]
	Needs, Goals, and Objectives	Needs and Goals Only	Needs and Objectives Only	Needs Only	Goals and Objectives Only	Goals Only	Objectives Only	
Reading or Oral or written English	52	4	2	8	22	5	7	100
Mathematics	44	4	2	5	30	4	10	100
Social adaptation	34	10	5	13	26	8	5	100
Self-help skills	43	5	3	9	28	9	3	100
Physical education	18	1	2	4	40	14	20	100
Motor skills	42	4	3	5	28	11	6	100
Speech	39	13	3	16	18	4	7	100
Visual acuity	5	2	2	33	16	30	12	100
Hearing	12	5	2	43	17	8	14	100
Vocational/ Prevocational	16	6	3	8	48	13	7	100

[a] Percents for each academic/functional area are based on the number of IEPs with at least one of the three information items in that area (i.e., a need, goal, or objective).

[b] Detail may not add to total because of rounding.

The third column in Table 7.1 (Needs and Objectives Only) presents the proportion of IEPs in each academic/functional area that contained statements of need and short-term objectives, but no goals. The percents shown in this column are low, i.e., all five percent or less.

The findings presented in the fourth column (Needs Only) reflect the percents of IEPs that contained only need statements. The percent of IEPs that contain need statements, but no goals or objectives, is rather high in vision and hearing: 33 percent and 43 percent, respectively. However, these two functional areas may operate somewhat differently than the other areas. While vision and hearing deficits may be indcated in IEPs, it may not always be appropriate to link educational goals and objectives to the deficit. Including a statement about the deficit provides information that special arrangements may be in order, but may not show up as goals and objectives in vision or hearing. Rather, they may show up in an academic area, like speech, or for that matter, in any area wherein the student needs special help as a result of the deficit. Other areas with needs, but no goals or objectives, in more than 10 percent of the IEPs, were speech (16 percent) and social adaptation (13 percent).

The remaining three columns in Table 7.1 present findings pertinent to academic and functional areas for which IEPs contained goals and/or objectives without an indication of need. These results show that the pattern of not linking goals and objectives generally holds in those IEPs that did not contain information denoting a need or weakness. The "best" case for this group is to have both a goal and objective in the same area. This best case occurred most often in the area of vocational/prevocational where 48 percent of the IEPs that had at least one need, goal, or objective in this area had a goal(s) and objective(s), but no indication of need. The best case occurred in more than 20 percent of the State/Special Facility for 7 of the 10 areas.

In order to gain some insight into the degree of informativeness of IEPs in the Basic Survey and State/Special Facility populations, distributions were compared for two columns of Table 7.1: needs, goals, and objectives; and needs only. (See Appendix G, Table G.2.) Needs, goals, and objectives were included in a greater percent of IEPs in the State/Special Facility population than in the Basic Survey population for 4 of the 10 areas: social adaptation, self-help skills, motor skills, and visual acuity. Needs only were found in a greater percent of IEPs in the Basic Survey population than in the State/Special

Facility population for 4 of the 10 areas: mathematics, social adaptation, self-help skills, and motor skills.

While not conclusive, the above results suggest that IEPs developed for students in the State/Special Facility population may be informative and internally consistent more often than those developed for students in the Basic Survey population. In terms of linking educational needs with special education programs through annual goals and objectives, it appears that those who are involved in designing State/Special Facility IEP formats and in developing State/Special Facility IEPs may be a little ahead of those involved with these processes in the Basic Survey population, especially those in regular schools. This may well be due to the presence in state/special facilities and special schools of a greater proportion of staff with training in special education and/or evaluation. In spite of this, the frequency with which IEPs in both the Basic Survey and State/Special Facility populations were found to lack informativeness with respect to consistency between needs statements, goals, and objectives was unexpected.

II. ADDITIONAL INFORMATION RELATED TO THE INFORMATIVENESS AND INTERNAL CONSISTENCY OF STATE/SPECIAL FACILITY IEPs

While other chapters in this volume present findings regarding discrete portions of IEPs and discrete factors regarding IEPs, no particular attempt has been made to provide a global view of the documents. In an attempt to provide such a view, an exploratory investigation was conducted to categorize IEPs according to the degree of informativeness and internal consistency. The methodology of this investigation are presented in detail in Appendix G of Volume III. The investigation findings for the State/Special Facility Substudy are presented in Appendix G of this volume. These findings strongly support the findings reported in Section I above.

III. SUMMARY

The relationship between statements of need, goals, and objectives was studied for 10 of the 13 academic and functional areas. It was found that many State/Special Facility IEPs lacked informativeness and internal consistency in that the need statements they contained were not accompanied by

associated goal statements and short-term objectives. The area of reading/English most often contained all three statements. Fifty-two percent of the IEPs that had at least one of the information items in this area had all three. Mathematics, self-help skills, and motor skills were the only other three areas that were "complete" in over 40 percent of the State/Special Facility IEPs for which they were applicable.

In several academic/functional areas relatively large percentages of State/Special Facility IEPs contained need statements without related goals and objectives. These percents ranged over academic/functional areas from a low of 4 to a high of 43. Also, many State/Special Facility IEPs contained goal statements without related statements of need and/or objectives, and many contained objectives without one or both of the other two components. IEPs that contained needs only, goals only, or objectives only must be considered to be lacking in informativeness and internal consistency. Comparisons of State/Special Facility IEPs and Basic Survey IEPs suggested that State/Special Facility IEPs may be informative and internally consistent more often; however, the frequency with which IEPs in both the Basic Survey and State/Special Facility populations were found to lack informativeness with respect to consistency between needs statements, goals, and objectives was unexpectedly high.

Chapter 8

Summary, Conclusions, and Implications

This chapter consists of two sections; the first summarizes the major findings of the State/Special Facility Substudy and the second lists some conclusions and implications of these findings.

I. SUMMARY

IEPs and related student and state/special facility information were collected and analyzed for a national sample of students, ages 3-21, who were enrolled in non-LEA-administered state/special facilities on 1 December 1978. Trained survey specialists visited each of 71 sample facilities and: (a) selected a sample of about eight students from each facility, (b) photocopied, and deleted any personally identifiable information that was contained in, the IEP of each selected student; and (c) distributed, collected, and field-edited the two questionnaires designed to obtain related information about each of the 550 students in the sample and the 71 state/special facilities in which they were enrolled.

All collected IEPs and questionnaires were returned to RTI where they were entered into a receipt and control system for further processing. The properties and contents of each IEP were described at RTI through the application of an IEP Evaluation Checklist, thus generating a set of coded responses for each IEP. The coded checklist forms and questionnaire items were edited manually, keyed into machine-readable files, machine-edited, weighted properly, and formatted for subsequent analyses.

Analyses of these State/Special Facility Substudy data focused on ten general questions that were developed jointly by BEH staff and the RTI project team. These questions and a summary of their answers are presented below. Answers to the tenth question, which concerns differences in findings between the State/Special Facility and Basic Survey populations, are presented in appropriate parts of responses to the other nine questions and then summarized together in a separate section.

The descriptive measures used to answer these questions are estimates of population parameters that were computed from the weighted sample data. The

estimated standard errors associated with these population estimates were also computed and reported.

A. What are the Characteristics of the Students who Have IEPs and are Enrolled in State/Special Facilities, and of the Facilities in Which they are Enrolled?

1. Students

About 188,000 handicapped students, ages 3-21, were estimated to be enrolled and receiving special education services in eligible state/special facilities on 1 December 1978. Approximately 93 percent of these students had IEPs.

Most of the handicapped students in state/special facilities received their special education in ungraded classes, while very few of the Basic Survey students were served in ungraded classes.

Students in state/special facilities were fairly evenly distributed across the 6-12, 13-15, and 16-21 age ranges, with a smaller proportion in the 3-5 age range. This differed from the Basic Survey in that two-thirds of the Basic Survey students were in the 6-12 age range.

Eighty-three percent of the State/Special Facility students were white, not Hispanic (as compared to 75 percent in the Basic Survey). Thirteen percent were black. Fifty-one percent of the State/Special Facility students (as compared to 16 percent in the Basic Survey) had multiple handicaps. At least one handicapping condition for about half of the state/special facility students was mental retardation; 18 percent were learning disabled; 28 percent were emotionally disturbed; 39 percent were speech impaired; and 22 percent were deaf or hard of hearing.

Fifty-eight percent of the state/special facility students (as compared with 13 percent in the Basic Survey) had severe handicaps, 36 percent had moderate handicaps, and 16 percent (as compared with 51 percent in the Basic Survey) had mild handicaps.

2. Facilities

About half of the state/special facilities were state operated or state supported. Almost one-third provided educational services only; almost half provided day care or residential treatment that included educational services. Most of the facilites (64 percent) had a total enrollment of less than 50 students. Only seven percent had a total enrollment of 201 or more.

Two-thirds of the facilities were accredited by the SEA; one-half were supervised by the SEA; and one-third were a part of, or supervised by, a public school system.

Most (71 percent) of the facilities prepared IEPs primarily to meet the requirements of P.L. 94-142. Many facilities prepared IEPs with the intention of also meeting the requirements of other laws or mandates (e.g., P.L. 89-313).

B. What Do State/Special Facility IEPs Look Like?

State/Special Facility IEPs had an average (mean) length of eight pages; however, about half of all IEPs consisted of five pages or less. This mean length was greater than that for Basic Survey IEPs. However, while the mean length was greater than that for IEPs in regular schools, it was not greater than that for special schools. As in the Basic Survey, the majority of State/Special Facility IEPs were handwritten and virtually all were reasonably easy to read.

Formats for State/Special Facility IEPs contained headings for a variety of information areas. Most of these headings were related to information which, although not required by P.L. 94-142, was important to understanding the student's special needs, interests, and planned program. As for Basic Survey IEPs, headings for the mandated information areas, as well as for some of the more important nonmandated areas, were found less frequently than expected.

Formats for about 40 percent of the State/Special Facility IEPs tended to restrict the number of annual goals that could be listed, and almost 20 percent had a similar restriction for short-term objectives. However, State/Special Facility IEPs were less restrictive than Basic Survey IEPs for both annual goals and short-term objectives.

As in the Basic Survey population, the formats of about half of the State/Special Facility IEPs were such that parental approval was intended for the entire IEP. However, nearly 40 percent of the State/Special Facility IEPs did not have a formatted location for parental approval. This was significantly greater than for Basic Survey IEPs.

As in the Basic Survey population, virtually all State/Special Facility IEPs consisted of a single document. The remaining two percent of the State/Special Facility IEPs consisted of additional separate documents that were prepared by different teachers or service sources. Three percent of the IEPs

consisted of multiple documents that were either prepared by different teachers or service sources, or prepared as separate placement and implementation plans.

C. What Kinds of Information Do State/Special Facility IEPs Contain?

State/Special Facility IEPs generally contained the kinds of information that were solicited through the headings in the IEP formats. That is, there was, as in Basic Survey IEPs, a strong and direct relationship between the inclusion of a heading in the IEP format and the provision of the information in the IEP.

Only about one-third of the State/Special Facility IEPs contained all of the 11 information items that they are required to contain as per Section 602 of P.L. 94-142; about three-fourths contained 10 of the 11 mandated items, and 90 percent contained 7 of the 11 items. Information across the 11 mandated items was included in State/Special Facility and Basic Survey IEPs with about the same frequency.

As in the Basic Survey, virtually all of the IEPs contained information about the specific educational services to be provided and the projected initiation date and anticipated duration of such services. The two mandated information areas that were included least frequently in both State/Special Facility and Basic Survey IEPs were (1) proposed evaluation criteria and (2) a statement of the extent of participation in the regular education program. Information regarding extent of participation in regular education programs was included more often in Basic Survey IEPs, and proposed evaluation criteria were included more often in State/Special Facility IEPs.

Only two percent of the State/Special Facility IEPs did not contain annual goals, and only eight percent did not contain short-term objectives. State/Special Facility IEPs that had at least one goal statement had an average of 11 and a median of 6.5 annual goals. State/Special Facility IEPs contained more annual goals than Basic Survey IEPs, which had an average of 6 and a median of 3.2 annual goals. However, while the IEPs of students in state/special facilities contained more goals than those for students in regular schools, they did not contain more than those for students in special schools.

For State/Special Facility IEPs with at least one objective, the mean number of objectives was 58, with a median of 25. IEPs developed for students in state/special facilities contained more objectives than those developed for

students in the Basic Survey population, which had a mean of 26 and a median of 11. The mean number of objectives in State/Special Facility IEPs was greater than that in either regular schools or special schools. As in the Basic Survey, the majority (about two-thirds) of objectives listed in IEPs were not necessarily "short-term" since, based on evidence in the IEP, the objectives were to be worked on throughout the full year.

As in the Basic Survey, State/Special Facility IEPs contained considerable nonmandated information. Included in this category were: basic student descriptors (age and type of handicap); information about the student's assessment, placement, general educational background, and proposed program of special services; and some documentation of the process whereby the student's IEP was developed, approved, and reviewed.

D. How Is Information Presented In State/Special Facility IEPs?

Though not required by the Act, over one-fourth of the State/Special Facility IEPs that contained at least some present-level-of-performance information also contained at least some supporting data (e.g., test scores). Present-level-of-performance information for each of at least three academic or functional areas was contained in 66 percent of the State/Special Facility IEPs. Ten percent included the date of the assessment of present level of performance. Supporting data and the date of assessment appeared more frequently in Basic Survey IEPs than in State/Special Facility IEPs, but information for at least three academic or functional areas was included in more State/Special Facility IEPs.

A small percent (8) of the State/Special Facility IEPs contained a prioritized listing of goals instead of a simple listing. This additional refinement which is not required by P.L. 94-142, occurred with about the same frequency in State/Special Facility and Basic Survey IEPs.

About two-thirds of the State/Special Facility IEPs contained at least one objective that was written in measurable terms or otherwise included criteria for evaluating whether the objective was met. Approximately 44 percent of the objectives listed in an "average" IEP were written in measurable terms or otherwise included evaluation criteria. There were no significant differences in this information about short-term objectives between the State/Special Facility and Basic Survey populations.

As for the Basic Survey, in practically all State/Special Facility IEPs, the specific educational services to be provided were stated in, or inferred from, annual goals and/or short-term objectives. Also, as in the Basic Survey, the projected dates for initiation of specific services and the anticipated duration of such services usually were stated in reasonably precise terms.

As in the Basic Survey, information about proposed evaluation procedures, criteria, and schedules (including assurances of at least an annual evaluation) generally was not clearly stated. For the most part, information in these areas had to be inferred from short-term objectives (which often were unclear). Beginning and end-of-treatment dates also often had to be used to make inferences about evaluation schedules and assurances of an annual evaluation.

E. Who Participates in the Development and Approval of State/Special Facility IEPs?

Based on information from the IEPs, a wide range of school personnel were involved in the development and approval of State/Special Facility IEPs. Since P.L. 94-142 does not require that IEPs contain either a listing or signatures of participants, these findings may not reflect all those who actually participated in the development of IEPs. These data, however, provide a relatively good indicator of the types of personnel involved.

Over 70 percent of the State/Special Facility IEPs listed at least one participant, and about two-thirds of them contained at least one signature. The average number of participants on IEPs that listed at least one participant was 4.1; a similar statistic for signers was 3.3.

A significantly greater percent of IEPs in the Basic Survey population listed at least one participant and included at least one signature than in the State/Special Facility population. However, there were no statistically significant differences between the State/Special Facility and Basic Survey populations in the mean numbers of participants and signers for IEPs with at least one participant or signer.

Sixty-two percent of the State/Special Facility IEPs listed at least one teacher or therapist as a participant and 43 percent were signed by at least one person in this category. Administrative personnel were indicated as participants in 36 percent of the IEPs and as signers in 31 percent. (These percents for administrative personnel are probably underestimates in that persons with other specific titles, e.g., counselors, might have served on IEP

committees as LEA administrative representatives.) Thirty percent of the State/Special Facility IEPs had a representative from both of these categories (teachers or therapists, and administrative personnel) listed as participants, and 20 percent had representatives from both groups listed as signers. Ancillary personnel (e.g., school psychologists, counselors, and social workers) were listed as participants in 14 percent of the IEPs, and as signers in 9 percent.

All three categories of personnel--teacher or therapist, administrative, and ancillary personnel--were listed in a larger percentage of Basic Survey IEPs than State/Special Facility IEPs. However, for all IEPs with at least one participant listed, there were no significant differences between the Basic Survey and State/Special Facility populations in the mean numbers of participants by category of personnel.

Information in IEPs indicated that parents (or guardians or surrogates) participated in developing 50 percent of the State/Special Facility IEPs and that they signed 48 percent of them. Supplementary information obtained directly from the teachers most knowledgeable about the student's IEP indicated that 80 percent of the parents signed and/or verbally approved State/Special Facility IEPs and that fewer than one percent refused to approve an IEP because they considered the IEP to be inappropriate. Teachers also indicated the following about parent participation: 83 percent discussed the completed IEP with school personnel; 66 percent met with the IEP committee to discuss the developed IEP; and 60 percent provided inputs to the IEP committee during development of the IEP. Results were generally similar for parental participation in State/Special Facility and Basic Survey IEPs.

Students were rarely listed in the State/Special Facility IEPs as participants or signers. Teachers, on the other hand, stated that 21 percent of handicapped students had discussed their IEPs with school personnel and that 11 percent provided input during the IEP process. Results were generally similar for student participation in State/Special Facility and Basic Survey IEPs.

Just over one-fifth of all State/Special Facility IEPs had all three of the mandated categories (teachers, LEA administrative representatives, and parents or guardians) listed as participants, while 14 percent had them listed as signers. More IEPs in the Basic Survey population than in the State/Special

Facility population listed at least one representative from the three mandated categories as participants and signers.

F. What Types of Special Education and Related Services are Specified In State/Special Facility IEPs?

The special education services specified in IEPs were described in terms of 13 different academic and functional areas: (1) reading (or oral or written English); (2) mathematics; (3) other academic; (4) social adaptation; (5) self-help skills; (6) emotional; (7) physical education; (8) motor skills; (9) speech; (10) visual acuity; (11) hearing; (12) vocational/prevocational; and (13) other.

Approximately 60 percent of State/Special Facility IEPs provided information about the present level of functioning in the academic areas of reading/English and "other academic." Fifty percent of the IEPs specified the information in social adaptation and 42 percent in mathematics. Present-level-of-functioning information was specified for motor skills in 39 percent of the IEPs and for speech and self-help skills in 31 percent. None of the remaining academic or functional areas had level-of-functioning data specified in more than 20 percent of the State/Special Facility IEPs. For 6 of the 13 academic/functional areas, the frequency with which level-of-functioning information was found in IEPs prepared in state/special facilities and special schools was greater than in IEPs prepared in regular schools.

Although assessment information was most often expressed as statements of needs, many of the State/Special Facility IEPs also included statements of strengths. In general, statements of both needs and strengths were found more frequently in IEPs prepared in state/special facilities and special schools than in IEPs prepared in regular schools.

Using statements of goals and/or objectives as indicators of the kinds of educational programming a student was to have received, State/Special Facility IEPs across the nation reflected educational programming in all 13 academic/functional areas. The extent to which State/Special Facility IEPs contained educational programming in each of these 13 areas generally followed a pattern similar to that stated above for the provision of assessment services, except that the percent of IEPs that indicated educational programming was lower in most academic/functional areas than the percent for which an assessment service was indicated. As for the Basic Survey, such differences were expected because many IEPs contained assessment information that reflected only strengths in

certain academic/functional areas, thus precluding a need for special educational programming. In a majority of the 13 functional areas, a greater proportion of IEPs in state/special facilities and special schools contained at least one annual goal and one short-term objective than did IEPs in regular schools.

Thirty-five percent of the State/Special Facility IEPs listed one or more of the following related services (services are listed in descending order according to frequency of occurrence): transportation; counseling; psychological services; audiology; physical therapy; recreation; and occupational therapy. Seventeen percent of the State/Special Facility IEPs listed only one related service, 6 percent listed two related services, and the remaining 12 percent listed three or more related services.

A significantly larger percent of the State/Special Facility IEPs specified the provision of one or more related services than did the Basic Survey IEPs. Transportation was the most frequently listed related service in state/special facilities, regular schools, and special schools.

G. How Informative and Internally Consistent are IEPs?

Based on a global view of the IEP document, about 27 percent of the IEPs were informative and internally consistent, while 79 percent generally met most of the requirements of the Act. Only five percent of these documents were considered to be exceptionally informative and internally consistent. Results for State/Special Facility and Basic Survey IEPs were generally similar, although there were more informative and internally consistent IEPs in the Basic Survey.

As in the Basic Survey, the two major shortcomings of State/Special Facility IEPs with respect to informativeness and internal consistency were the failure (1) to include all mandated information items, and (2) to specify a direct and identifiable link between areas of need and the services to be provided (as reflected by statements of goals and objectives).

The first shortcoming was discussed earlier in answer to the study question about the kinds of information contained in IEPs. Regarding the second shortcoming, a significant percent of the IEPs either had statements of needs in functional/academic areas for which goals and/or objectives were not included, or they contained goals and/or objectives for areas in which a need statement was not included.

The academic area of reading (or written or oral language) most often contained all three statements (a need, at least one related goal, and at least one related objective); i.e., just over one-half of the IEPs that had at least one of the three types of statements in this area had all three. Of the other nine areas studied, only three (mathematics, self-help skills, and motor skills) were complete in more than 40 percent of the applicable State/Special Facility IEPs.

In several academic/functional areas, relatively large percentages of State/Special Facility IEPs contained need statements without related goals or objectives. These percents ranged over academic/functional areas from a low of about 4 percent to a high of 43 percent. Also, many State/Special Facility IEPs contained goal statements without related statements of need and/or objectives, and many contained objectives without one or both of the other two components.

H. How Do the Types of Special Education Services Specified in State/Special Facility IEPs Vary by Selected Student Characteristics?

Only one analysis was conducted for a type of special education service by a student characteristic. The academic and functional areas in which educational programming was indicated in an IEP by at least one short-term objective was analyzed by student age level (ages 3-5, 6-12, 13-15, and 16-21).

Definite trends across age levels for the distribution of State/Special Facility IEPs with at least one short-term objective were found in only two areas. For motor skills, there were fewer IEPs with at least one short-term objective at the older age levels (13-15 and 16-21) than at the younger levels (3-5 and 6-12). For the vocational/prevocational area, the percent of IEPs with at least one short-term objective increased as age increased. These results were reasonably consistent with those in the Basic Survey population.

I. How Do the Formats, Contents, Properties, and Development Processes of IEPs Vary by Selected Student Characteristics?

Several analyses were conducted for two subpopulations of the State/Special Facility populations. These subpopulations were defined as follows: student age level (age 3-5, 6-12, 13-15, and 16-21); and severity of the student handicapping condition (mild, moderate, and severe). Major findings are summarized below.

1. Age Levels

There was some suggestion of a pattern of decreasing parent participation in the development of the IEP as student age increased. The reverse was true for student participation in the development of IEP, i.e., student participation increased as age increased. This was similar in direction to, though not as strong as, the results in the Basic Survey population.

Results suggested that at least one member from each of the three mandated categories (parents, teacher, and LEA representative) may have served as participants on the IEP Committee of state/special facility students more often at the younger age levels (3-5 and 6-12) than the older age levels (13-15 and 16-21). This is somewhat different from results in the Basic Survey population where no differences were found across age groups.

2. Severity of Handicap

Results on student participation across mild, moderate, and severe levels of handicapping condition suggested that students with severe levels may have participated more often in the development of their IEPs than students with mild levels. This is somewhat different from the results for the Basic Survey population, in which no significant differences were found across severity levels.

Results from the teacher survey suggested that parent participation might be less for parents of students with severe levels than for those with moderate levels of handicapping condition. Again, this was somewhat different from the Basic Survey population, for which results suggested the possibility of more parent participation as the severity level increased.

Results also suggested that at least one representative from each of the three mandated categories may have been represented more often in the IEPs of the moderately handicapped than the severely handicapped. This result was somewhat different from the Basic Survey population, in which there was the suggestion of greater participation of all mandated personnel as the severity level increased.

Interpretation of these findings should take into consideration the possibility that the reliability of the estimates of severity of students' handicaps was attenuated by the fact that these estimates were provided by special education teachers who might have used their own frame of reference in making these judgements.

J. How Do the Answers to the Questions B-I Above Differ for Students in Basic Survey Schools (Regular and Special) and State/Special Facilities?

As was indicated in the answers to questions B-I, there were several reasonably important ways in which State/Special Facility IEPs differed from IEPs developed in regular schools and special schools in the Basic Survey. These differences are listed below.

1) State/Special Facility IEPs were longer than Basic Survey IEPs, as well as regular school IEPs; however, they were not longer than special school IEPs.
2) State/Special Facility IEPs less often than Basic Survey IEPs had formats which tended to restrict the number of annual goals and short-term objectives which could be listed.
3) State/Special Facility IEPs contained more annual goals than Basic Survey and regular school IEPs, but not more than special school IEPs.
4) State/Special Facility IEPs contained more short-term objectives than Basic Survey, regular school, and special school IEPs.
5) State/Special Facility IEPs contained present-level-of-functioning information (for both needs and strengths) more often than Basic Survey and regular school IEPs in 6 of the 13 academic/functional areas. No differences in this area were noted between State/Special Facility and special school IEPs.
6) State/Special Facility IEPs specified the provision of one or more related services more often than did Basic Survey IEPs.
7) State/Special Facility IEPs listed at least one participant and one signer less often than Basic Survey IEPs, and fewer State/Special Facility IEPs than did Basic Survey IEPs contained a formatted location for parental approval.
8) State/Special Facility IEPs less often than Basic Survey IEPs listed at least one participant from any of the following three categories of personnel: teachers, administrators, and ancillary (service) personnel. (It should be noted, however, that for IEPs with at least one participant or signer, there were no differences in the mean number of participants and signers for State/Special Facility and Basic Survey IEPs.)

9) State/Special Facility IEPs less often than Basic Survey IEPs listed at least one participant from all three of the categories mandated by P.L. 94-142; i.e., teacher, LEA administrative representative, and parent.

II. CONCLUSIONS AND IMPLICATIONS

As with the Basic Survey, the findings of the State/Special Facility Substudy provide a description of special education programs in state/special facilities during the early stages of meeting the IEP requirement of P.L. 94-142. These results indicate that state/special facilities appeared to have made a good start toward full implementation of the IEP mandate of P.L. 94-142, as have schools in the Basic Survey. In the second school year following the effective date of the IEP requirement, about 93 percent of the students receiving special education and related services in state/special facilities had an IEP. About three-fourths of the State/Special Facility IEPs contained 10 of the 11 mandated information items, and nearly 30 percent of them were considered to be at least reasonably complete and internally consistent. Many State/Special Facility IEPs contained nonmandated information that generally made them more complete. A variety of services were specified in the IEPs, and a wide range of personnel were involved in the development and approval of these documents, including a significant proportion of parents (guardians/ surrogates).

On the other hand, as in the Basic Survey, only a very small percentage of the State/Special Facility IEPs were considered to be complete and internally consistent documents in that a significant proportion did not contain: (a) all of the mandated information items, and/or (b) a direct link between areas of need and the services to be provided, as reflected by the annual goals and short-term objectives. Even under the generous criteria used in the study, only about one-third of the State/Special Facility IEPs contained all the information mandated by P.L. 94-142.

Although certain differences were noted between State/Special Facility and Basic Survey IEPs, it can be concluded that in general the IEPs for these two populations were quite similar (especially those prepared for students in state/special facilities and special schools). Because of this similarity, the following two major implications of the State/Special Facility Substudy

findings for improving the informativeness and internal consistency of State/Special Facility IEPs generally are the same as those reported in Volume III (Chapter 9) for the Basic Survey.

First, it is clear that there is a strong relationship between IEP format and content. As a result, more attention to formats, along with some monitoring of completed documents, should result in a significant improvement in the informativeness and internal consistency of the IEPs. For example, IEP formats should include specific headings for desired information, and these headings should be structured to promote internal consistency with respect to linking each specific academic/functional area in which a need is indicated to its associated goals and objectives. If the criteria and evaluation procedures for determining whether each short-term objective is being achieved are not included in the objective (i.e., the objective is not stated in measurable terms), headings for this information also should be placed so the appropriate information can be linked directly to specific objectives.

Second, it is relatively clear from the patterns of variability examined in the substudy that the persons developing the IEP are a key to the quality of the document. The importance of the training of the professionals responsible for educational programming and/or IEP development is certainly a major implication of the findings of the national survey. Substudy findings indicate that such training should focus on improving the internal consistency of IEPs, and on specifying evaluation procedures and criteria for determining the achievement of objectives, stated either as separate entities or as part of the statements of objectives.

In terms of linking educational needs with special education programs through annual goals and objectives, it appears that those who are involved in designing State/Special Facility IEP formats and in developing State/Special Facility IEPs may be a little ahead of those involved with these processes in the Basic Survey population, especially those in regular schools. This well may be due to the presence in state/special facilities and special schools of a greater proportion of staff with training in special education and/or evaluation.

As with the findings of the Basic Survey, the results reported in this volume for the State/Special Facility population during the 1978-79 school year provide an important baseline for evaluating changes over time in the properties and contents of IEPs for this population, as well as for assessing the effectiveness of this new program.

Appendix A

Relationships Between Instrument Items and Questions Addressed by the State/Special Facility Substudy of the IEP Survey

Appendix A

RELATIONSHIPS BETWEEN INSTRUMENT ITEMS AND QUESTIONS ADDRESSED BY THE STATE/SPECIAL FACILITY SUBSTUDY OF THE IEP SURVEY

Questions to be Addressed for State/Special Facility IEPs	Related Questionnaire Items[a/]
I. What do IEPs look like?	
1. How many pages do they contain?	EC 1
2. What proportion are legible and reasonably easy to read?	EC 2
3. What types of information headings do they contain?	EC 3(Col A)
4. What proportion of IEPs have formats that limit the number of annual goals or short-term objectives?	EC 2
5. What proportion of IEPs have formats that restrict parental approval to only a portion of the IEP?	EC 5
6. What proportion of IEPs consist of separate documents prepared:	
a. By different teachers or service sources?	EC 2
b. For purposes of placement or implementation?	EC 2
II. What kinds of information do IEPs contain?	
1. What proportion of IEPs contain mandated information? That is, what proportion contain:	
a. A statement of student's present level of functioning?	EC 6 (Col A)
b. Annual goals?	EC 6 (Col E)
c. Short-term objectives?	EC 7 (Col A)

a/ EC = IEP Evaluation Checklist; SCQ = Student Characteristics Questionnaire; and; SCHQ = School Characteristics Questionnaire; SDCQ = School District Characteristics Questionnaire; SFCQ = State/Special Facility Characteristics Questionnaire; SIP = Sample Information Protocol; SP = Level 2 Substudy Protocol; SIR = Sampling Information Record; SSLF = Student Listing Form; DRF1 = Data-of-Record Form 1; DRF2 = Data-of-Record Form 2; DRF3 = Data-of-Record Form 3; DRF4 = Data-of-Record Form 4; MRS = Multiple Reporting Sheet.

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Questions to be Addressed	Related Questionnaire Items
d. A statement of special education/related services to be provided?	EC 3 (Col B--Items 13,14,16,27,29,30); EC 10
e. A statement of extent of participation in regular program?	EC 9
f. The projected date for initiation of services?	EC 12
g. A statement of expected duration of services?	EC 13
h. Objective evaluation criteria?	EC 7 (Col B)
i. Evaluation procedures?	EC 14
j. Evaluation schedule?	EC 15
k. A statement regarding annual evaluation?	EC 16
2. What is the distribution of IEPs by the number of goal statements contained?	EC 6 (Col E)
3. What is the distribution of IEPs by the number of short-term objectives contained?	EC 7 (Col A)
4. What proportion of IEPs contain information in all 11 of the above mandated evaluation dimensions? In 10 of the 11? In 9 of the 11? ... In only 1 of the 11?	Items specified in EC 1-16 above
5. To what extent do IEPs contain information in addition to that mandated by Section 602 of P.L. 94-142?	EC 3 (Col B)
III. How is information presented in IEPs?	
1. How are statements regarding the student's level of functioning presented?	EC 6
a. With supporting data?	EC 6 A & B
b. Without supporting data	EC 6 A
c. With statement that special education is needed?	EC 6 C
d. With statement that special education is not needed?	EC 6 D

- continued -

Questions to be Addressed	Related Questionnaire Items
2. How are annual goal statements presented?	
a. With statement of expected behavior?	EC 6 E & F
b. Without statement of expected behavior?	EC 6 E
3. How are short-term objectives presented?	
a. With/without logical statement of expected behavior?	EC 7 A & B/EC 7 A
b. In specific time frames?	EC 8
4. How are statements of services presented?	
a. A placement recommendation?	EC 3 (Col B), 13
b. Services to be provided?	EC 3 (Col B), 14
c. Personnel responsible for services?	EC 3 (Col B), 16
d. Annual goals and/or short-term objectives?	EC 3 (Col B), 27 and 29
e. Recommended instructional materials, resources, strategies, or techniques?	EC 3 (Col B), 30
5. How are dates regarding the initiation of services presented?	
a. Explicitly?	EC 12 1
b. Implicitly?	EC 12 2 & 3
c. Insufficiently?	EC 12 4
6. How are the statements regarding the duration of services presented?	
a. Explicitly?	EC 13 1
b. Implicitly?	EC 13 2 & 3
c. "As long as needed"?	EC 13 4
d. Insufficiently?	EC 13 5

- continued -

Questions to be Addressed	Related Questionnaire Items
7. How are evaluation statements presented?	
a. Procedures explicit/implicit/cannot be determined?	EC 14 1 & 2; EC 14 3/EC 14 4
b. Schedules explicit/implicit/cannot be determined?	EC 15 1/EC 15 2 & 3; EC 15 4
8. How many objectives are presented in terms of an annual evaluation?	
a. Some?	EC 16 2
b. All?	EC 16 1
c. None?	EC 16 3
d. Cannot be determined.	EC 16 4
9. What proportion of IEPs contain a statement of the rationale for the student not participating in the regular program?	EC 11
IV. Who participates in the development and approval of IEPs?	
1. What is the frequency distribution of IEPs by the number of signatures they contain, and by the titles of the signers (e.g., teachers, parents, principals, counselors, psychologists, students)?	EC 4 (Col B)
2. What is the frequency distribution of IEPs by the number and titles of personnel listed on the IEP as having participated in the IEP process?	EC 4 (Col A)
3. For what proportion of IEPs did parents participate in the IEP process?	SCQ 4f
4. For what proportion of IEPs did students participate in the IEP process? For what proportion have students discussed their IEPs with a teacher, counselor, or other school representative?	SCQ 4g and 4h
5. For those IEPs in which parental participation was indicated, in what proportion of IEPs did parents participate by:	
a. Signing the IEP?	SCQ 4a
b. Verbally (in person or by telephone) approving the IEP?	SCQ 4b

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Questions to be Addressed	Related Questionnaire Items
c. Refusing to approve the IEP on the basis of their considering the IEP inappropriate?	SCQ 4c and EC 5
d. Discussing the completed IEP with a teacher, counselor, or other school representative?	SCQ 4d
e. Meeting with the IEP committee to discuss the developed IEP?	SCQ 4e
f. Participating in the development of the IEP; that is, sitting with the IEP committee during the development process and provided inputs to the IEP?	SCQ 4f
g. Various combinations of the above?	SCQ 4
V. What types of special education and related services are specified in IEPs?	
1. In what academic and functional areas are specific education services provided, singularly and in various combinations thereof?	EC 7 (Cols A & D)
2. What kinds of, and how many related services are provided, singularly and in various combinations thereof?	EC 10
3. In what academic and functional areas is there a determination that special education is needed/not needed because of the present level of functioning?	EC 6 A, C & D
4. In what academic and functional areas was supporting data listed for present-level-of-functioning statements?	EC 6 B
5. In what academic and functional areas does a goal statement reflect a service which matches a statement of need?	EC 6 C and EC 6 E
6. In what academic and functional areas does an objective reflect a service which matches a goal statement?	EC 6 E and EC 7 A
VI. How informative and internally consistent are IEPs?	
1. What proportion are internally consistent in that at least one goal relates to at least one objective that relates to at least one area of indicated need?	EC 6 (Cols C & E) EC 7 (Col A)

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Questions to be Addressed	Related Questionnaire Items
2. What proportion meet the requirements of four informativeness/ internal consistency levels?	
a. What proportion are classified as incomplete information documents?	
b. What proportion are classified as minimally informative documents?	Various combinations of EC 1-16
c. What proportion are classified as informative and internally consistent documents?	
d. What proportion are classified as exceptionally informative and internally consistent documents?	
VII. What are the characteristics of the students who have IEPs and are enrolled in state/special facilities and of the facilities in which they are enrolled?	
1. How are the students who receive special services distributed by:	
a. Selected facility characteristics (see VII.2 below)?	SCFQ
b. Age, grade level, race, and sex?	SCQ 1
c. Nature and severity of handicapping condition?	SCQ 3
2. How are the facilities in which students are served distributed by:	
a. Type (state supported or state operated)?	SFCQ 1
b. Purpose?	SFCQ 2
c. Size of student enrollment?	SFCQ 5
d. Relationship to SEA (accredited or supervised by)?	SFCQ 7
e. Laws or legal mandates for which IEPs are written?	SFCQ 8
VIII. How do the types of special education services specified in IEPs vary by selected student characteristics?	
1. How does the answer to question V above vary by student age and severity of student handicap?	EC 7 (Cols A & D), and 10; SCQ 1a and 3

- continued -

Questions to be Addressed	Related Questionnaire Items
IX. How do the formats, contents, properties, and development processes of State/Special Facility IEPs vary by selected student characteristics?	
1. How do the answers to questions I-VI above vary by student age and severity of handicap?	EC 1-16; SCQ 1a and 3
X. How do the answers to questions I-VI above differ for students in Basic Survey schools (regular and special) and state/special facilities?	EC items in I-VI

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Appendix B

Supporting Data for Chapter 2

Table B.1

DISTRIBUTION OF STUDENTS WITH IEPs, BY GRADE LEVEL AND SEX
(In percents, with standard errors noted in parentheses)

Grade Level	Sex		Total
	Male	Female	
Pre-K	2.2 (1.3)	1.1 (0.6)	3.3 (1.8)
K	0.6 (0.3)	0.4 (0.2)	1.0 (0.4)
1	3.2 (2.3)	0.2 (0.1)	3.4 (2.3)
2	0.4 (0.4)	0.1 (0.1)	0.5 (0.4)
3	2.2 (1.2)	0.1 (0.1)	2.3 (1.2)
4	0.0 (0.0)	0.2 (0.1)	0.2 (0.1)
5	0.2 (0.2)	1.6 (1.4)	1.8 (1.4)
6	1.0 (0.7)	0.6 (0.6)	1.7 (0.9)
7	3.3 (1.2)	1.2 (0.7)	4.6 (1.6)*
8	1.1 (0.6)	1.5 (0.9)	2.6 (1.1)
9	3.5 (1.9)	0.2 (0.1)	3.6 (1.9)
10	1.4 (0.8)	1.1 (0.7)	2.4 (1.0)
11	1.4 (0.9)	0.0 (0.0)	1.4 (0.9)
12	0.9 (0.6)	0.8 (0.7)	1.7 (0.9)
Ungraded/ Undetermined	46.6 (4.8)*	23.0 (3.4)*	69.6 (7.6)*
Total	68.1 (3.4)*	31.9 (3.4)*	

* Cell has estimated sample size of 25 or more. All other cells have an estimated sample size of less than 25.

a/ Detail do not total 100 due to rounding error.

Table B.2

DISTRIBUTION OF STUDENTS WITH IEPs, BY AGE LEVEL AND SEX
(In percents, with standard errors noted in parentheses)

Age Levels	Sex		Total
	Male	Female	
3-5	5.0 (2.0)	3.1 (1.2)*	8.1 (3.0)
6-12	26.0 (3.7)	11.1 (1.7)	37.2 (3.8)[a/]
13-15	18.5 (3.2)	10.1 (1.9)	28.6 (3.8)
16-21	18.6 (2.9)	7.5 (1.9)	26.1 (3.5)
Total	68.1 (3.4)	31.9 (3.4)	100.0

* Cell has estimated sample size of less than 25.

a/ Detail does not add to total because of rounding.

Table B.3

DISTRIBUTION OF STUDENTS WITH IEPs, BY RACE AND SEX
(In percents, with standard errors noted in parentheses)

Race	Sex		Total
	Male	Female	
White, Not Hispanic	55.4 (4.3)	27.8 (3.4)	83.2 (2.9)
Black, Not Hispanic	10.0 (2.5)	3.0 (1.0)*	13.0 (2.9)
Hispanic	2.1 (0.9)*	1.0 (0.6)*	3.1 (1.1)*
American Indian/Alaskan Native	0.1 (0.1)*	0.0 (0.0)*	0.1 (0.1)*
Asian/Pacific Islander	0.6 (0.6)*	0.1 (0.1)*	0.6 (0.6)*
Total	68.2 (1.3)[a/]	31.9 (1.3)	100.0

* Cell has estimated sample size of less than 25.

a/ Detail does not add to total because of rounding.

Table B.4

DISTRIBUTION OF STUDENTS WITH IEPs, BY NATURE AND SEVERITY OF HANDICAPPING CONDITION
(In percents, with standard errors noted in parentheses)

Nature of Condition	Severity of Condition						Total	
	Mild		Moderate		Severe			
Mentally Retarded	5.2	(2.6)	8.1	(3.1)	4.4	(1.8)*	17.8	(4.4)
Learning Disabled	3.4	(2.2)*	0.6	(0.4)*	2.4	(1.6)*	6.4	(3.1)
Emotionally Disturbed	1.5	(1.2)*	6.9	(3.1)	2.8	(1.4)*	11.2	(4.8)
Speech Impaired	2.3	(2.1)*	0.2	(0.1)*	0.1	(0.1)*	2.6	(2.2)*
Deaf and Hard of Hearing	0.0	(0.0)*	1.3	(1.2)*	4.6	(1.9)*	6.0	(3.0)
Visually Handicapped	0.1	(0.1)*	0.0	(0.0)*	0.2	(0.2)*	0.4	(0.3)*
Orthopedically Impaired	0.0	(0.0)*	0.3	(0.2)*	0.5	(0.2)*	0.8	(0.2)*
Other Health Impaired	0.7	(0.5)*	2.6	(1.5)*	0.5	(0.3)*	3.8	(1.9)*
Multiple Conditions	2.8	(1.1)*	15.4	(2.9)	32.8	(6.3)	51.0	(6.0)
Total	16.0[a/]	(4.7)	35.6[a/]	(5.4)	48.5[a/]	(5.8)	100.0[a/]	

* Cell has estimated sample size of less than 25.

a/ Detail does not add to total because of rounding.

Table B.5
DISTRIBUTION OF STUDENTS WITH IEPs, BY NATURE OF HANDICAPPING CONDITION

Nature of Condition	Percent[a/]
Mentally Retarded	50.3 (9.0)
Learning Disabled	18.5 (4.3)
Emotionally Disturbed	22.8 (6.4)
Speech Impaired	39.3 (6.4)
Deaf and Hard of Hearing	21.5 (6.9)
Orthopedically Impaired	11.2 (2.6)
Visually Handicapped	10.4 (2.8)
Other Health Impaired	10.7 (3.1)

a/ Percents are based on the total number of students with IEPs. Percents total more than 100 because some students have more than one handicapping condition.

Table B.6

DISTRIBUTION OF STUDENTS WITH IEPs,
BY NUMBER OF HANDICAPPING CONDITIONS AND TYPE OF SCHOOL
(In percents, with standard errors noted in parentheses)

Number of Handicapping Conditions	Percent
1	49.0 (6.0)
2	29.9 (4.5)
3	12.1 (2.6)
4 or more	9.0 (3.3)
Total	100.0

Table B.7

DISTRIBUTION OF FACILITIES BY TYPE OF FACILITY
(In percents, with standard errors noted in parentheses)

Type of Facility	Percent
State Operated	14.9 (5.9)
State Supported, But Not State Operated	31.6 (9.8)
Other	53.5 (10.2)

Table B.8

PRIMARY PURPOSE OF STATE/SPECIAL FACILITIES
(In percents, with standard errors noted in parentheses)

Primary Purpose	Percent[a]
Residential treatment that includes educational services	18.1 (8.4)
Day care treatment that includes educational services	29.1 (9.7)
Day care and residential treatment that includes educational services	9.3 (5.7)
Educational services only	35.2 (9.7)
Other	8.1 (3.3)

[a] Percents do not total 100 because of rounding.

Table B.9

RELATIONSHIP OF FACILITIES TO THE SEA
(In percents, with standard errors noted in parentheses)

Relationship	Percent[a]
Accredited by the SEA	66.2 (9.6)
Supervised by the SEA	49.9 (10.6)
A part of, or supervised by, a local public school system	32.8 (10.9)

[a] Percents total more than 100 because some facilities maintained more than one of the relationships.

Table B.10

PROPORTION OF FACILITIES THAT PREPARED VARIOUS PERCENTAGES OF THEIR IEPs TO MEET THE REQUIREMENTS OF VARIOUS LAWS AND MANDATES
(With standard errors in parentheses)

Law or Mandate	Percent of IEPs				
	None	1-25	25-50	51-75	> 75
P.L. 94-142	19.6 (8.8)	0.8 (0.8)	8.1 (7.5)	0.1 (0.1)	71.4 (10.1)
P.L. 89-313	50.4 (10.0)	10.4 (7.5)	0.8 (0.7)	0.1 (0.1)	38.4 (9.6)
Title XIX (Intermediate Care Facility/Mentally Retarded)	97.2 (1.2)	1.5 (1.0)	0.3 (0.3)	0.1 (0.1)	0.9 (0.5)
Joint Commission of Accredited Hosptials (JCAH)	95.8 (1.6)	0.8 (0.8)	2.4 (1.2)	0.1 (0.1)	0.9 (0.5)
Vocational Rehabilitation	86.8 (6.5)	4.1 (2.5)	0.1 (0.1)	1.6 (1.6)	7.4 (6.0)
Other	79.8 (8.3)	7.5 (6.4)	0.0 (0.0)	2.6 (2.6)	10.1 (5.3)

Appendix C

Supporting Data for Chapter 3

Table C.1

DISTRIBUTION OF IEPs, BY NUMBER OF PAGES IN THE STATE/ SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Number Of Pages	Basic Survey			State Facility
	Regular	Special	Total	
1	6.2 (1.1)	1.5 (1.1)*	6.0 (1.0)	3.5 (2.3)*
2	24.0 (2.0)	17.5 (4.9)	23.7 (2.0)	10.1 (4.4)
3	16.3 (1.6)	11.6 (3.0)	16.0 (1.5)	7.3 (3.2)
4	14.1 (1.2)	13.3 (4.0)	14.1 (1.1)	16.9 (5.1)
5	12.5 (1.4)	8.4 (1.7)	12.4 (1.4)	15.8 (3.9)
6	7.2 (0.7)	6.8 (2.1)	7.2 (0.7)	5.3 (1.1)
7-10	12.8 (1.0)	22.3 (4.3)	13.2 (1.0)	24.3 (5.2)
11 or greater	6.8 (1.2)	18.6 (3.7)	7.3 (1.1)	16.9 (3.0)
Total	100.0[a/]	100.0	100.0[a/]	100.0[a/]
Mean Number Of Pages	4.7 (0.2)	7.0 (0.6)	4.8 (0.2)	8.2 (1.2)
Standard Deviation of Population	3.9	5.9	4.0	10.9
Range of Number of Pages	1-41	1-47	1-47	1-158

* Cell has estimated sample size of less than 25.

a/ Details do not add to total because of rounding.

Table C.2

DISTRIBUTION OF STATE/SPECIAL FACILITY IEPs,
BY NUMBER OF PAGE AND STUDENT AGE LEVELS
(In percents, with standard errors noted in parentheses)

Number of Pages	Student Age Levels				Total Ages 3-21
	3-5	6-12	13-15	16-21	
1	15.9 (11.8)*	2.2 (1.6)*	3.0 (2.1)*	2.0 (1.4)*	3.5 (2.3)*
2	6.5 (5.7)*	9.9 (4.7)*	12.7 (6.4)*	8.5 (4.7)*	10.1 (4.4)
3	6.1 (4.7)*	11.3 (5.6)*	6.6 (3.7)*	2.7 (0.7)*	7.3 (3.2)
4	20.0 (14.0)*	21.3 (6.6)	15.7 (7.3)*	11.0 (7.6)*	16.9 (5.1)
5	3.5 (2.3)*	15.1 (4.8)	13.5 (4.7)*	23.3 (7.5)	15.8 (3.9)
6	1.7 (1.2)*	7.4 (2.6)*	4.4 (2.2)*	4.4 (2.3)*	5.3 (1.1)
7-10	22.6 (8.9)*	20.4 (6.7)	29.1 (8.1)	25.0 (7.1)	24.3 (5.2)
11 or greater	23.7 (10.2)*	12.4 (3.3)*	15.0 (3.6)*	23.1 (7.0)	16.9 (3.0)
Total	100.0	100.0	100.0	100.0	100.0[a/]
Mean Number Of Pages	7.2 (1.8)	7.0 (0.8)	8.7 (1.6)	9.8 (2.3)	8.2 (1.2)
Standard Deviation Of Population	5.6	8.3	14.4	10.7	10.9
Range of Number Of Pages	1-34	1-117	1-158	1-71	1-158

* Cell has estimated sample size of less than 25.

a/ Details do not add to totals because of rounding.

Table C.3

DISTRIBUTION OF STATE/SPECIAL FACILITY IEPs, BY NUMBER OF PAGES AND SEVERITY OF STUDENT HANDICAP
(In percents, with standard errors noted in parentheses)

Number of Pages	Severity of Handicapping Condition		
	Mild	Moderate	Severe
1	0.6 (0.6)*	6.6 (5.7)*	2.1 (1.5)*
2	8.0 (5.6)*	13.7 (6.5)*	8.1 (3.6)
3	23.1 (13.6)*	4.4 (3.1)*	4.2 (1.5)*
4	18.4 (8.0)*	19.4 (8.2)	14.6 (4.2)
5	10.2 (4.2)*	15.0 (5.2)*	18.3 (7.3)
6	3.4 (2.5)*	2.1 (1.3)*	8.3 (1.7)
7-10	27.1 (13.7)*	28.0 (7.9)	20.6 (5.2)
11 or greater	9.1 (5.7)*	11.0 (3.3)*	23.7 (3.6)
Total	100.0[a/]	100.0[a/]	100.0[a/]
Mean Number Of Pages	7.1 (2.1)	7.1 (1.1)	9.4 (1.3)
Standard Deviation Of Population	8.6	10.2	12.0
Range of Number of Pages	1-50	1-142	1-158

* Cell has estimated sample size of less than 25.

a/ Details do not add to total because of rounding.

Table C.4

AVERAGE NUMBER OF PAGES IN STATE/SPECIAL FACILITY IPEs, BY CATEGORY OF LEGIBILITY

Category of Legibility	Number of Pages		
	Mean	Standard Deviation Of Population	Standard Error Of Mean
1. IEP Typed and Legible	10.6	15.4	2.4
2. IEP Handwritten, But Easy to Read	6.4	5.2	0.7
3. IEP Handwritten, and Difficult To Read	9.8	5.3	1.8

Table C.5

DISTRIBUTION OF IEPs WITH HEADINGS FOR VARIOUS MANDATED INFORMATION AREAS, IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Information Headings[a/]	Percent of Students with IEPs That Include Heading:			
	Basic Survey			State Facility
	Regular	Special	Total	
Statement of annual goals	94.4 (1.3)	97.0 (1.3)	94.5 (1.3)	97.8 (0.9)
Short-term objectives	91.6 (1.4)	93.2 (2.9)	91.7 (1.4)	87.4 (6.4)
Statement of the present level of educational performance	89.5 (2.0)	94.3 (2.1)	89.7 (1.9)	88.1 (5.3)
Projected date for initiation of specific services	88.5 (2.0)	93.0 (2.6)	88.7 (1.9)	76.5 (7.7)
Statement of specific educational services to be provided	80.5 (2.7)	90.6 (2.9)	80.9 (2.7)	66.7 (7.3)
Anticipated duration of specific services	79.8 (2.8)	88.4 (4.1)	80.2 (2.8)	71.6 (8.9)
Statement of the extent to which child will be able to participate in regular educational programs	76.4 (3.1)	79.6 (4.7)	76.6 (3.1)	55.3 (8.4)
Proposed evaluation criteria	53.6 (3.2)	46.3 (7.3)	53.2 (3.2)	60.6 (9.2)
Proposed evaluation procedures	39.5 (3.6)	44.7 (7.6)	39.7 (3.6)	37.6 (8.3)
Proposed schedules for determining whether instructional objectives are being met	27.4 (3.3)	29.4 (7.1)	27.5 (3.3)	28.9 (6.6)

[a/] A heading for "assurances of at least an annual evaluation" was not expected to be found in IEPs and therefore is not included.

Table C.6

DISTRIBUTION OF IEPs WITH HEADINGS FOR VARIOUS NON-MANDATED INFORMATION AREAS, IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Information Headings	Percent of Students with IEPs That Include Heading:			
	Basic Survey			State Facility
	Regular	Special	Total	
A. BASIC STUDENT CHARACTERISTICS				
Student's age or birthdate	81.6 (2.5)	94.3 (2.6)	82.2 (2.4)	82.3 (8.0)
Student's grade level	59.1 (3.5)	55.9 (8.4)	58.9 (3.5)	33.8 (8.5)
Nature of student's handicap	26.6 (3.5)	25.0 (6.0)	26.6 (3.6)	32.1 (9.1)
Student's sex	13.4 (3.0)	13.2 (5.0)	13.4 (3.0)	1.2 (0.7)*
Student's race	6.6 (2.2)	9.5 (4.0)	6.7 (2.2)	0.9 (0.4)*
B. ASSESSMENT-RELATED				
Assessment data to support present level of performance	36.2 (3.3)	39.8 (8.0)	36.4 (3.3)	17.5 (5.1)
Date of the assessment of present level of performance	22.9 (2.7)	26.6 (8.0)	23.0 (2.7)	11.1 (4.4)
Student's strengths	23.2 (3.0)	26.0 (8.0)	23.3 (2.9)	29.3 (8.6)
Physical education needs	11.9 (2.3)	16.2 (5.2)	12.1 (2.3)	13.5 (7.2)
C. PLACEMENT-RELATED				
Placement recommendation	65.0 (3.5)	77.9 (6.0)	65.5 (3.5)	54.8 (8.2)
Rationale for placement or services	22.2 (2.8)	24.0 (5.2)	22.3 (2.7)	20.1 (7.2)
D. INSTRUCTION-RELATED				
Student's primary language	5.9 (2.6)	8.1 (4.2)	6.0 (2.6)	6.5 (4.9)
Student's school attendance record	2.8 (1.1)	7.7 (4.5)	3.1 (1.2)	0.8 (0.6)*
Student's special interests	1.9 (1.0)	1.7 (1.2)*	1.9 (1.0)	0.4 (0.4)*

(continued)

Table C.6 (continued)

Information Headings	Percent of Students with IEPs That Include Heading:			
	Basic Survey			State Facility
	Regular	Special	Total	
E. PROCESS OF IEP DEVELOPMENT, APPROVAL, AND REVIEW				
Participants in the IEP process	86.7 (2.3)	92.3 (2.2)	87.0 (2.3)	73.7 (5.7)
Date of preparation of IEP	83.2 (2.3)	92.6 (2.4)	83.7 (2.2)	79.5 (6.9)
Titles of individuals who approved the IEP	75.1 (2.8)	85.2 (3.6)	75.6 (2.7)	68.0 (6.9)
Parental approval	73.5 (3.0)	76.5 (7.2)	73.6 (2.9)	46.7 (7.7)
Signature of individuals who approved the IEP	62.0 (3.4)	49.7 (8.0)	61.4 (3.3)	35.9 (7.4)
Proposed IEP review date	47.9 (4.0)	68.6 (5.5)	48.8 (3.9)	33.7 (8.3)
Results of parental notification	9.5 (1.9)	12.1 (4.3)	9.6 (1.9)	0.7 (0.5)*
Actual IEP review date	8.5 (1.6)	5.2 (2.5)	8.3 (1.6)	6.8 (4.7)
Results of IEP review	8.1 (1.8)	6.9 (3.8)	8.0 (1.7)	5.9 (4.6)
Participants in IEP review	6.8 (1.4)	5.4 (2.6)	6.8 (1.4)	2.0 (1.2)*
F. PROPOSED PROGRAM OF SPECIAL SERVICES				
Personnel responsible for services	67.1 (3.3)	71.3 (5.2)	67.2 (3.3)	56.7 (8.2)
Recommended instructional materials, resources, strategies, or techniques	59.7 (3.2)	55.8 (7.6)	59.5 (3.2)	66.1 (8.6)
Date short-term objectives met	22.8 (3.1)	26.1 (6.0)	23.0 (3.0)	21.0 (7.2)
Priority listing of annual goals	17.1 (2.5)	13.9 (3.6)	17.0 (2.4)	10.8 (4.2)
G. OTHER				
Other[a/]	37.6 (3.5)	40.4 (7.8)	37.8 (3.5)	69.3 (6.6)

* Cell has estimated sample size of less than 25.

a/ IEPs with at least one "other" heading. Includes such headings as: date of referral, provisions for mainstreaming, or last grade obtained.

Table C.7

DISTRIBUTION OF IEPs WITH FORMATS WHICH LIMIT THE NUMBER OF ANNUAL GOALS OR THE NUMBER OF SHORT-TERM OBJECTIVES, IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Formats Which Limit The:	Basic Survey			State Facility
	Regular	Special	Total	
1. Number Of Annual Goals	65.0 (3.2)	61.0 (7.8)	64.8 (3.1)	41.5 (8.4)
2. Number Of Short-Term Objectives	39.3 (3.3)	28.5 (5.8)	38.8 (3.2)	20.6 (7.1)

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

Table C.8

DISTRIBUTION OF IEPs WITH FORMATS WHICH LIMIT NUMBER OF ANNUAL GOALS OR NUMBER OF SHORT-TERM OBJECTIVES, BY AGE LEVEL FOR STATE/SPECIAL FACILITY STUDENTS
(In percents, with standard errors noted in parentheses)

Formats Which Limit the:	Student Age Levels[a/]				Total Ages 3-21
	3-5	6-12	13-15	16-21	
1. Number of Annual Goals	35.5 (18.8)	39.3 (9.8)	40.8 (10.0)	47.3 (9.5)	41.5 (8.4)
2. Number of Short-Term Objectives	24.0 (17.4)	14.6 (6.3)	27.2 (9.9)	20.8 (7.4)	20.6 (7.1)

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

Table C.9

IEP FORMAT AS RELATED TO PARENTAL APPROVAL IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATION
(In percents, with standard errors noted in parentheses)

Format Classifications	Percent of IEPs	
	Basic Survey	State Facility
Approval (or disapproval) would be for the entire IEP	48.3 (3.1)	48.7 (7.1)
Approval (or disapproval) would be for annual goals but not for short-term objectives	11.8 (1.8)	2.7 (1.5)*
Approval (or disapproval) would be for part but not all of the short-term objectives	4.8 (1.1)	1.2 (0.6)*
Approval (or disapproval) would be for services to be provided but not for annual goals or short-term objectives	11.2 (2.1)	6.3 (2.8)
Approval (or disapproval) would be for some portion of the IEP, but cannot determine what would be approved	2.0 (0.5)	2.3 (1.1)*
No place for approval or disapproval is provided	21.9 (2.5)	37.8 (7.1)
Total	100.0	100.0[a/]

* Cell has estimated sample size of less than 25.

a/ Detail does not add to total because of rounding.

Appendix D

Supporting Data for Chapter 4

Appendix D

Supporting Data for Chapter 4

Criteria for Determining the Occurrence of Mandated Information in IEPs

A determination as to the occurrence of mandated information in IEPs was based on questions in the IEP Evaluation Checklist. The following criteria were used to determine whether or not the following types of mandated information were included:

1) Statement of present level of performance: any number circled in the column labeled "Present level of functioning listed" (Item 6, Column A).
2) Statement of annual goals: any positive number entered in column labeled "Number of goals listed" (Item 6, Column E).
3) Short-term objectives: any positive number entered in column labeled "Number of short-term objectives" (Item 7, Column A).
4) Statement of specific educational services to be provided: (a) any appropriate information entered under a heading requesting such information (Item 3, Column B, number 14); (b) any positive number entered in column labeled "Number of goals listed" (Item 6, Column E); (c) any positive number entered in column labeled "Number of short-term objectives" (Item 7, Column A); or (d) any number circled to indicate a related service to be received (Item 10).
5) Statement of extent of participation in the regular program: any amount of time (either percent or minutes per week) entered in question regarding proportion or amount of time assigned to special services (Item 9).
6) Projected date for initiation of services: an item circled in the question on beginning dates of service (Item 12) which stated that the date(s) was (were) (a) specifically stated; (b) could be inferred from dates contained in goals or objectives; or (c) could be inferred from date IEP was prepared.
7) Anticipated duration of services: an item circled in the question on duration of services (Item 13) which stated that the duration was (a) specifically stated; (b) inferred from dates given for goals or objectives; (c) inferred from heading stating that goals were annual goals; or (d) that services would be provided "as long as needed."

8) Proposed evaluation criteria: any appropriate information entered under a heading requesting such information, or any positive number entered in column labeled "Number of objectives that include a logical statement of expected behavior to an acceptable standard" (Item 7, Column B). Included in this latter criterion were (a) a statement of observable behavior; (b) a statement of specific criteria by which student would be judged to have met/not met that objective; and (c) reasonably logical internal consistency between statements "a" and "b." (It should be noted that evaluation criteria listed anywhere in the IEP were considered to be a part of the related short-term objectives.)

9) Proposed evaluation procedures: an item circled in the question regarding evaluation procedures (Item 14) which stated that the procedure was (a) clear from the short-term objectives; (b) contained in a precise statement of how the evaluation (of the short-term objectives listed in the IEP) should be conducted; or (c) inferred from unclear statements of how the evaluation (of short-term objectives listed in the IEP) should be conducted, or from unclear short-term objectives. (An example of an unclear statement or unclear objective is "will learn multiplication tables." While it is not clear to an impartial observer exactly what procedure will be used to determine whether or not the objective has been met, there is some reason to believe that an appropriate procedure may be assumed.)

10) Proposed schedules for determining whether instructional objectives are being met: an item in the question concerning evaluation schedules (Item 15) which stated that the schedule was: (a) specifically stated as being the evaluation schedule; (b) implied from the short-term objectives; or (c) implied from beginning-of-treatment and end-of-treatment dates.

11) Assurances of at least an annual evaluation: an item circled in the question regarding an annual evaluation (Item 16) which stated that: (a) all of the short-term objectives appear to require at least an annual evaluation or (b) some, but not all, of the short-term objectives appear to require at least an annual evaluation.

Table D.1

DISTRIBUTION OF IEPs WITH INFORMATION MANDATED BY SECTION 602 OF P.L. 94-142 IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Mandated Information Areas	Percent of IEPs[a/]	
	Basic Survey	State Facility
Statement of the present level of educational performance	90.1 (1.7)	88.9 (4.8)
Statement of annual goals	94.4 (1.3)	98.0 (0.8)
Short-term objectives	91.1 (1.3)	92.0 (4.5)
Statement of specific educational services to be provided	98.9 (0.5)	99.9 (0.0)
Statement of the extent to which child will be able to participate in regular educational programs	62.4 (2.7)	45.2 (7.5)
Projected date for initiation of specific services	99.3 (0.2)	95.5 (4.1)
Anticipated duration of specific services	94.9 (1.3)	95.0 (4.1)
Proposed evaluation criteria	65.2 (2.2)	80.3 (5.5)
Proposed evaluation procedures	91.1 (1.3)	92.0 (4.5)
Proposed schedules for determining whether instructional objectives are being met	87.4 (1.8)	86.7 (5.5)
Assurances of at least an annual evaluation	87.5 (1.8)	91.4 (4.6)

[a/] Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.2

DISTRIBUTION[a] OF IEPs BY NUMBER OF MANDATED AREAS FOR WHICH IEP CONTAINS INFORMATION IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Number of Mandated Information Areas	Basic Survey[a]			State Facility
	Regular	Special	Total	
All eleven mandated areas	36.7 (2.4)	32.2 (5.7)	36.5 (2.3)	30.7 (11.7)
Ten mandated areas	34.5 (2.2)	33.6 (4.1)	34.5 (2.2)	43.1 (7.0)
Nine mandated areas	14.1 (1.7)	18.3 (3.8)	14.2 (1.6)	10.8 (3.1)
Eight mandated areas	3.6 (1.0)	2.0 (1.4)*	3.5 (0.9)	2.5 (0.9)*
Seven mandated areas	1.7 (0.6)	0.9 (0.5)*	1.6 (0.6)	4.1 (3.2)*
Six mandated areas	3.9 (0.8)	4.8 (2.2)	4.0 (0.7)	7.2 (3.7)
Five mandated areas	3.4 (0.7)	6.6 (2.6)	3.6 (0.7)	0.9 (0.7)*
Four mandated areas	0.7 (0.3)*	0.7 (0.4)*	0.7 (0.2)*	0.3 (0.3)*
Three mandated areas	0.8 (0.3)*	0.5 (0.5)*	0.7 (0.3)*	0.3 (0.2)*
Two mandated areas	0.7 (0.3)*	0.0 (0.0)*	0.7 (0.3)*	0.0 (0.0)*
One mandated area	0.0 (0.0)*	0.5 (0.5)*	0.0 (0.0)*	0.0 (0.0)*

* Cell has estimated sample size of less than 25.

[a] Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.3

DISTRIBUTION[a/] OF IEPs THAT INCLUDED PRESENT-LEVEL-OF-FUNCTIONING INFORMATION FOR VARIOUS NUMBERS OF ACADEMIC/FUNCTIONAL AREAS IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Number of Academic/Functional Areas	Percent of IEPs	
	Basic Survey	State Facility
0	9.9 (1.7)	11.1 (4.8)
1	17.0 (1.5)	11.5 (3.4)
2	19.6 (1.5)	11.1 (3.1)
3	13.2 (1.1)	10.1 (2.4)
4	13.1 (1.0)	12.7 (1.9)
5	8.7 (0.9)	14.1 (2.7)
6	8.2 (1.0)	13.5 (2.2)
7	5.3 (0.7)	7.4 (1.4)
8	2.8 (0.5)	3.4 (1.4)*
9	1.5 (0.4)	3.4 (0.9)*
10	0.4 (0.2)*	1.5 (0.6)*
11	0.1 (0.1)*	0.2 (0.1)*
12	0.0 (0.0)*	0.1 (0.1)*
13	0.2 (0.1)*	0.0 (0.0)*
14	0.0 (0.0)*	0.0 (0.0)*
15	0.0 (0.0)*	0.0 (0.0)*
16	0.0 (0.0)*	0.0 (0.0)*
17	0.0 (0.0)*	0.0 (0.0)*

* Cell has estimated sample size of less than 25.

[a/] Percents are based on the estimated total number of students with IEPs, adjusted for nonresponse.

Table D.4

DISTRIBUTION OF IEPs CONTAINING HEADINGS FOR INFORMATION BY SECTION 602 OF P.L. 94-142 AND DISTRIBUTION OF IEPs THAT INCLUDE INFORMATION IN THESE HEADED SPACES, IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS (In percents, with standard errors noted in parentheses)

Mandated Information Areas	Percent[a/] of Students with IEPs That: Include Heading		Include Heading and Have Information Entered	
	Basic Survey	State Facility	Basic Survey	State Facility
Statement of the present level of educational performance	89.7 (2.0)	88.1 (5.1)	86.3 (2.0)	86.5 (5.3)
Statement of annual goals	94.5 (1.3)	97.8 (0.9)	93.5 (1.3)	97.5 (1.0)
Short-term objectives	91.7 (1.4)	87.4 (6.4)	89.0 (1.5)	86.7 (6.4)
Statement of specific educational services to be provided	80.9 (2.7)	66.7 (7.3)	68.2 (3.0)	59.1 (7.6)
Statement of the extent to which child will be able to participate in regular educational programs	76.6 (3.1)	55.3 (8.4)	66.5 (2.7)	46.2 (8.3)
Projected date for initiation of specific services	88.8 (1.9)	76.5 (7.7)	80.6 (2.2)	70.0 (7.9)
Anticipated duration of specific services	80.2 (2.8)	71.6 (8.9)	66.4 (3.0)	62.0 (8.8)
Appropriate evaluation criteria	53.3 (3.2)	60.6 (9.2)	42.2 (2.9)	56.6 (9.1)
Appropriate evaluation procedures	39.7 (3.6)	37.6 (8.3)	35.4 (3.3)	34.6 (7.9)
Appropriate schedules for determining whether instructional objectives are being met	27.5 (3.3)	28.9 (6.6)	19.6 (2.7)	22.8 (5.5)
Assurances of at least an annual evaluation[b/]				

a/ Percents are based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ A heading for this item would be inappropriate, and is not included in columns 2 and 3.

Table D.5

DISTRIBUTION OF IEPs CONTAINING HEADINGS FOR INFORMATION NOT MANDATED BY SECTION 602 OF P.L. 94-142 AND DISTRIBUTION OF IEPs THAT INCLUDE INFORMATION IN THESE HEADED SPACES IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Information Heading	Percent[a/] of Students with IEPs That:			
	Include Heading		Include Heading and Have Information Entered	
	Basic Survey	State Facility	Basic Survey	State Facility
Student's age or birthdate	82.2 (2.4)	82.3 (8.0)	79.0 (2.5)	79.8 (7.8)
Student's grade level	58.9 (3.5)	33.8 (8.5)	54.8 (3.3)	32.7 (8.3)
Student's sex	13.4 (3.0)	1.2 (0.7)*	12.6 (2.8)	1.1 (0.7)*
Student's race	6.7 (2.2)	0.9 (0.4)*	6.2 (2.0)	0.8 (0.4)*
Student's primary language	6.0 (2.6)	6.5 (4.9)	5.4 (2.4)	5.7 (4.3)
Assessment data to support present level of performance	36.4 (3.3)	17.5 (5.1)	30.2 (2.9)	14.2 (4.5)
Date of the assessment of present level of performance	23.0 (2.7)	11.1 (4.4)	19.7 (2.4)	10.4 (4.0)
Nature of student's handicap	26.6 (3.5)	32.1 (9.1)	25.0 (3.3)	27.1 (8.2)
Student's strengths	23.3 (2.9)	29.3 (8.6)	19.6 (2.4)	27.1 (8.3)
Student's special interests	1.9 (1.0)	0.4 (0.4)*	1.3 (0.8)	0.4 (0.4)*
Student's school attendance record	3.1 (1.2)	0.8 (0.6)*	1.5 (0.6)	0.1 (0.1)*
Placement recommendation	65.5 (3.5)	54.8 (8.2)	61.4 (3.4)	50.6 (8.2)
Rationale for placement or services	22.3 (2.7)	20.1 (7.2)	19.7 (2.5)	17.1 (6.7)
Personnel responsible for services	67.2 (3.3)	56.7 (8.2)	60.4 (3.1)	52.4 (8.4)

(continued)

Table D.5 (continued)

Information Heading	Percent[a/] of Students with IEPs That:			
	Include Heading		Include Heading and Have Information Entered	
	Basic Survey	State Facility	Basic Survey	State Facility
Physical education needs	12.1 (2.3)	13.5 (7.2)	9.3 (1.8)	13.3 (7.2)
Date of preparation of IEP	83.7 (2.2)	79.5 (6.9)	76.9 (2.3)	71.7 (7.0)
Participants in the IEP process	87.0 (2.3)	73.7 (5.7)	83.4 (2.4)	66.3 (5.7)
Signature of individuals who approved the IEP	61.4 (3.3)	35.9 (7.4)	55.4 (3.3)	32.1 (6.9)
Titles of individuals who approved the IEP	75.6 (2.7)	68.0 (6.9)	71.6 (2.8)	61.6 (6.6)
Parental approval	73.6 (2.9)	46.7 (7.7)	56.2 (2.7)	32.7 (6.0)
Results of parent notification	9.6 (1.9)	0.7 (0.5)*	8.4 (1.7)	0.5 (0.4)*
Priority listing of annual goals	17.0 (2.4)	10.8 (4.2)	14.8 (2.2)	8.1 (4.0)
Recommended instructional materials, resources, strategies or techniques	59.5 (3.2)	66.1 (8.6)	52.0 (3.2)	55.4 (8.3)
Date short-term objectives met	23.0 (3.0)	21.0 (7.2)	11.0 (1.7)	10.0 (4.4)
Proposed IEP review date	48.8 (3.9)	33.7 (8.3)	35.2 (3.0)	28.4 (8.1)
Actual IEP review date	8.3 (1.6)	6.8 (4.7)	5.9 (1.0)	5.1 (4.1)
Results of IEP review	8.0 (1.7)	5.9 (4.6)	4.6 (1.1)	3.6 (3.4)
Participants in IEP review	6.8 (1.4)	2.0 (1.2)*	4.0 (0.9)	1.0 (1.0)*
Other[b/]	37.8 (3.5)	69.3 (6.6)	31.2 (3.3)	52.7 (7.0)

* Cell has estimated sample size of less than 25.

a/ Percents are based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ IEPs with at least one "other" heading. Includes such headings as: date of referral or last grade obtained.

Table D.6

DISTRIBUTION[a/] OF IEPs BY NUMBER OF GOALS PER IEP IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Number of Goals	Basic Survey			State Facility
	Regular	Special	Total	
0	5.7 (1.3)	4.2 (1.6)*	5.6 (1.3)	2.0 (0.8)*
1	15.7 (1.5)	2.0 (1.1)*	15.2 (1.5)	3.6 (2.9)*
2	13.8 (1.2)	6.5 (3.0)	13.5 (1.1)	5.7 (2.2)
3	13.6 (1.1)	5.8 (1.5)	13.3 (1.0)	3.8 (1.1)*
4	11.4 (1.0)	8.1 (1.8)	11.2 (0.9)	9.8 (3.4)
5	8.2 (0.7)	10.7 (2.1)	8.3 (0.7)	13.8 (4.7)
6	7.1 (0.8)	10.4 (1.9)	7.2 (0.8)	7.4 (2.0)
7	5.1 (0.7)	6.5 (1.2)	5.1 (0.7)	10.2 (2.6)
8	3.3 (0.5)	5.6 (1.2)	3.4 (0.5)	7.4 (1.4)
9	3.2 (0.5)	3.6 (1.2)*	3.2 (0.5)	2.8 (0.9)*
10	2.3 (0.4)	5.6 (1.5)	2.4 (0.4)	4.4 (1.7)*
11-15	6.6 (0.9)	15.1 (2.7)	6.9 (0.9)	10.4 (2.2)
16-25	2.8 (0.0)	11.5 (2.1)	3.1 (0.6)	9.6 (2.2)
26 or more	1.4 (0.5)	4.3 (1.2)*	1.6 (0.5)	9.1 (2.2)
Mean Number of Goals[b/]	5.4 (0.3)	10.1 (0.8)	5.6 (0.3)	11.0 (1.1)
Standard Deviation of Mean	6.1	10.5	6.4	13.2
Range of Goals	0-118	0-143	0-143	0-309

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Mean number of goals is based on the total number of IEPs with at least one goal.

Table D.7

DISTRIBUTION[a/] OF IEPs BY NUMBER OF OBJECTIVES PER IEP IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Number of Objectives	Basic Survey			State Facility
	Regular	Special	Total	
0	8.8 (1.4)	11.0 (4.1)	8.9 (1.3)	8.0 (4.5)
1-2	5.6 (0.8)	1.3 (0.9)*	5.4 (0.7)	1.2 (1.0)*
3-4	9.8 (1.4)	2.9 (1.2)*	9.5 (1.3)	5.5 (1.8)
5-6	9.5 (1.0)	4.3 (1.6)*	9.3 (0.9)	4.9 (1.3)*
7-8	9.1 (0.9)	6.0 (1.4)	9.0 (0.9)	4.1 (1.7)*
9-10	6.5 (0.8)	4.3 (1.1)*	6.4 (0.7)	3.1 (1.1)*
11-12	4.8 (0.6)	3.9 (1.2)*	4.8 (0.6)	4.2 (1.3)*
13-15	6.5 (0.7)	7.0 (1.4)	6.5 (0.7)	7.0 (2.4)
16-20	9.0 (0.8)	11.1 (2.4)	9.1 (0.8)	10.2 (2.6)
21-30	9.4 (1.0)	15.4 (2.5)	9.6 (1.0)	12.3 (2.7)
31-50	10.1 (1.1)	14.5 (3.0)	10.3 (1.1)	17.8 (4.4)
51-70	5.6 (0.8)	7.3 (1.7)	5.7 (0.8)	6.4 (1.6)
71-100	2.4 (0.5)	5.1 (1.6)	2.5 (0.4)	6.9 (2.0)
101 or more	2.8 (0.7)	5.8 (1.4)	2.9 (0.6)	8.4 (2.7)
Mean Number of Objectives[b/]	25.4 (1.9)	38.0 (4.5)	25.9 (1.9)	58.0 (17.6)
Standard Deviation of Mean	47.7	55.6	48.1	127.2
Range of Objectives	0-1,002	0-731	0-1,002	0-1,018

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Mean number of objectives is based on the total number of students with at least one objective.

Table D.8

DISTRIBUTION OF SHORT-TERM OBJECTIVES OVER VARIOUS TIME FRAMES IN STATE/SPECIAL STATE FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Time Frame Of Objectives	Percent of Objectives For Students Enrolled In:			
	Basic Survey			State Facility[d/]
	Regular[a/]	Special[b/]	Total[c/]	
Full year	65.0 (2.8)	59.3 (5.2)	64.6 (2.7)	65.7 (5.3)
Less than full year	31.9 (2.7)	36.0 (4.3)	32.2 (2.6)	28.1 (4.0)
No time frame specified	3.1 (1.0)	4.7 (2.7)	3.2 (1.0)	6.2 (4.9)
Total	100.0	100.0	100.0	100.0

a/ Percents in this column are based on 61,364,267, the estimated total number of objectives written for students in regular schools.

b/ Percents in this column are based on 4,300,206, the estimated total number of objectives written for students in special schools.

c/ Percents in this column are based on 65,664,472, the estimated total number of objectives written for students in both regular and special schools.

d/ Percents in this column are based on 9,712,723, the estimated total number of objectives written for students in state/special facility schools.

Table D.9

DISTRIBUTION[a] OF IEPs BY PERCENT OF SHORT-TERM OBJECTIVES WITH A LOGICAL STATEMENT OF EXPECTED BEHAVIOR TO A SPECIFIED STANDARD IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Percent of Short-Term Objectives With a Logical Statement of Expected Behavior to a Specified Standard[b]	Percent of IEPs	
	Basic Survey	State Facility
0	46.1 (2.5)	32.6 (7.6)
>0-10	3.8 (0.5)	4.3 (1.8)*
>10-20	3.8 (0.6)	3.0 (1.2)*
>20-30	3.1 (0.5)	6.5 (2.3)
>30-40	2.9 (0.5)	4.4 (1.1)*
>40-50	4.6 (0.7)	4.2 (1.3)*
>50-60	3.1 (0.5)	4.6 (2.1)*
>60-70	3.9 (0.6)	5.9 (1.9)
>70-80	5.2 (0.8)	7.1 (2.1)
>80-90	5.3 (0.9)	5.4 (1.4)
>90-100	18.3 (1.6)	21.8 (5.1)
Mean Percentage	35.6 (2.1)	43.9 (6.8)

* Cell has estimated sample size of less than 25.

a/ Percents are based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ Only IEPs with at least one short-term objective are included.

Table D.10

DISTRIBUTION[a/] OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF BEGINNING DATES OF SERVICE AS CONTAINED IN IEPs IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Statement of Beginning Date of Service	Basic Survey			State Facility
	Regular	Special	Total	
Is specifically stated	65.6 (2.9)	70.2 (5.5)	65.8 (2.8)	45.3 (8.3)
May be inferred from dates given for goals or objectives	18.8 (2.5)	17.4 (4.7)	18.8 (2.4)	29.3 (7.8)
Must be inferred from date IEP was prepared	14.9 (1.8)	11.3 (2.8)	14.8 (1.7)	20.9 (5.5)
There is insufficient information upon which to base an inference	0.7 (0.2)*	1.1 (0.7)	0.7 (0.2)*	4.5 (4.1)*

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.11

DISTRIBUTION[a/] OF IEPs BY DEGREE OF SPECIFICITY OF THE STATEMENT OF DURATION OF SERVICES TO BE PROVIDED AS CONTAINED IN IEPs IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Duration of Services To be Provided	Basic Survey			State Facility
	Regular	Special	Total	
Is specifically stated	48.7 (3.4)	65.1 (5.6)	49.3 (3.4)	41.8 (7.9)
May be inferred from dates given for goals or objectives	24.7 (2.6)	21.7 (5.2)	24.6 (2.6)	31.1 (7.3)
Must be inferred from headings that state goals are "annual" goals	18.8 (2.2)	9.0 (2.3)	18.4 (2.1)	21.2 (7.0)
States that services will be provided "as long as needed"	2.7 (0.9)	0.5 (0.4)*	2.7 (0.8)	1.0 (0.8)*
There is insufficient information upon which to base an inference	5.1 (1.3)	3.7 (2.0)*	5.1 (1.3)	5.0 (4.1)

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.12

DISTRIBUTION[a/] OF IEPs BY DEGREE OF SPECIFICITY OF STATEMENT OF THE EVALUATION PROCEDURE FOR EVALUATING SHORT-TERM OBJECTIVES AS CONTAINED IN IEPs BY SCHOOL TYPE
(In percents, with standard errors noted in parentheses)

Statement of the Evaluation Procedure	Basic Survey			State Facility
	Regular	Special	Total	
Procedure is a precise statement of how the evaluation should be conducted	6.4 (1.7)	5.6 (3.5)	6.4 (1.7)	8.3 (4.9)
Procedure is clear from short-term objectives	33.5 (2.3)	31.0 (6.5)	33.4 (2.3)	41.9 (7.1)
Procedure must be inferred from unclear statements or from unclear short-term objectives	51.3 (2.5)	52.4 (7.3)	51.3 (2.5)	41.8 (7.8)
Procedure cannot be inferred because IEP has no short-term objectives	8.8 (1.0)	11.0 (3.6)	8.9 (1.0)	8.0 (4.5)

[a/] Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.13

DISTRIBUTION[a/] OF IEPs BY DEGREE OF SPECIFICITY OF STATEMENT OF THE EVALUATION SCHEDULE FOR THE SHORT-TERM OBJECTIVES AS CONTAINED IN IEPs IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Statement of the Evaluation Schedule	Basic Survey			State Facility
	Regular	Special	Total	
Is specifically stated as being the evaluation schedule	14.0 (2.6)	10.9 (3.7)	13.9 (2.5)	22.8 (5.2)
May be inferred from the short-term objectives	36.1 (2.8)	45.4 (7.1)	36.5 (2.8)	21.0 (5.1)
Must be implied from beginning-of-treatment and end-of-treatment dates	37.3 (2.8)	30.1 (6.2)	37.0 (2.8)	42.9 (7.2)
Is not stated or implied	12.6 (1.8)	13.6 (4.4)	12.6 (1.8)	13.3 (5.5)

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.14

DISTRIBUTION[a/] OF IEPs BY DEGREE TO WHICH IEP INDICATES THAT AN ANNUAL EVALUATION OF SHORT-TERM OBJECTIVES IS REQUIRED IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Statement of Annual Evaluation of Short-Term Objectives	Basic Survey			State Facility
	Regular	Special	Total	
All of the short-term objectives appear to require at least an annual evaluation	87.2 (1.8)	85.4 (4.6)	87.1 (1.8)	91.2 (4.5)
Some but not all of the short-term objectives appear to require at least an annual evaluation	0.3 (0.2)*	0.9 (0.7)*	0.3 (0.2)*	0.2 (0.2)*
None of the short-term objectives require at least an annual evaluation	0.2 (0.1)*	0.6 (0.6)*	0.2 (0.1)*	0.0 (0.0)*
Such information is not given and cannot be inferred	12.3 (1.8)	13.1 (4.5)	12.4 (1.8)	8.6 (4.6)

* Cell has estimated sample size less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

Table D.15

DISTRIBUTION[a/] OF IEPs THAT INCLUDED PRESENT-LEVEL-OF-FUNCTIONING INFORMATION FOR VARIOUS NUMBERS OF ACADEMIC/FUNCTIONAL AREAS IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Present-Level-of-Functioning-Information	Percent	
	State Facility	Basic Survey
IEP contained some present-level-of-performance information	88.9 (4.8)	90.1 (1 7)
IEP contained some present-level-of-performance information plus supporting data for at least a part of this information	27.0 (5.4)	50.9 (2.5)
IEP contained present-level-of-performance information for at least three academic or functional areas	66.4 (5.4)	53.2 (2.4)
IEP contained present-level-of-performance information in at least one academic or functional area where special education is found not to be required	65.4 (7.2)	55.9 (2.7)
IEP contained present-level-of-performance information in at least three academic or functional areas and contained supporting data for 90-100 percent of these areas	4.2 (1.9)	11.3 (1.9)
IEP provides date(s) of assessment of present level of performance	10.4 (4.0)	19.7 (2.4)

a/ Percents are based on the estimated total number of students with IEPs, adjusted for nonresponse.

Appendix E

Supporting Data for Chapter 5

Table E.1

TYPES OF PERSONS WHO PARTICIPATED IN THE IEP PROCESS AND WHO SIGNED IEPs, BY STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS

(In percents,[a/] with standard errors noted in parentheses)

Classification of Participants/Signers	Participant		Signer	
	Basic Survey	State Facility	Basic Survey	State Facility
Category 1: Teachers and Therapists				
One or more regular classroom teachers	13.3 (1.6)	7.6 (2.2)	10.4 (1.5)	6.5 (2.2)
One special education teacher	27.9 (2.4)	4.7 (1.9)	24.1 (2.4)	4.4 (1.9)*
Two or more special education teachers	4.7 (0.7)	1.0 (0.6)*	3.0 (0.6)	1.0 (0.6)*
Speech or language therapist	21.4 (2.0)	18.4 (4.6)	15.7 (1.7)	12.9 (4.6)
Physical or occupational therapist(s)	0.5 (0.1)*	5.0 (1.5)	0.3 (0.1)*	2.5 (0.9)*
Other therapist(s)	0.7 (0.3)*	4.0 (2.9)*	0.6 (0.3)*	4.0 (2.9)*
Physical education teacher(s)	0.6 (0.3)*	1.0 (0.6)*	0.5 (0.3)*	0.9 (0.6)*
One of the above, but can't tell which	36.4 (2.7)	43.7 (6.0)	26.8 (2.3)	26.6 (4.0)
At least one of the above	74.4 (2.2)	62.3 (5.8)	58.5 (2.9)	43.2 (5.9)
Category 2: Administrative Representatives				
LEA representative(s)	21.4 (2.4)	14.1 (4.5)	18.5 (2.4)	10.7 (4.1)
Principal or assistant principal(s)	34.2 (2.9)	14.4 (5.5)	27.9 (2.9)	8.0 (2.3)
School representative(s)	6.4 (1.6)	8.6 (4.8)	5.9 (1.5)	8.4 (4.8)
Case manager(s), chairperson	15.9 (2.5)	4.3 (1.3)*	13.3 (2.2)	3.0 (1.1)*
Supervisor	1.7 (0.5)	10.3 (5.0)	1.5 (0.5)	10.2 (5.0)
At least one of the above	59.7 (2.8)	35.7 (6.5)	50.9 (3.1)	30.8 (6.7)
Category 3: Ancillary Personnel				
School psychologist or psychometrist(s)	13.7 (1.9)	9.3 (2.3)	10.4 (1.8)	6.0 (1.6)
Counselor(s)	10.0 (1.5)	2.1 (0.9)*	7.9 (1.3)	1.7 (0.8)*
Social worker(s)	3.3 (0.8)	5.3 (1.8)	2.0 (0.6)	3.4 (1.2)*
Nurse	4.9 (1.8)	3.5 (1.6)*	4.5 (1.8)	2.0 (0.9)*
At least one of the above	24.2 (2.6)	14.0 (2.6)	19.2 (2.6)	9.3 (2.1)
Category 4: Parents				
Parent(s), guardian(s), or surrogate(s)	62.6 (2.5)	50.4 (5.2)	57.1 (2.7)	47.6 (5.5)
Category 5: Student				
Student	2.9 (0.7)	5.5 (1.9)	2.5 (0.6)	3.0 (1.5)*
Category 6: Could Not Classify and Other				
Could not classify[b/]	19.2 (1.9)	11.2 (2.4)	14.8 (1.7)	8.9 (2.1)
Other	11.0 (1.4)	17.3 (3.6)	8.7 (1.3)	12.5 (2.9)
At least one of the above	28.0 (2.1)	26.5 (4.0)	21.6 (1.9)	19.6 (3.5)
Category 7: Mandated Personnel				
IEPs with at least one person from each of categories 1, 2, and 4	36.2 (2.3)	21.2 (4.4)	28.3 (2.6)	14.4 (4.1)
Category 8: Categories 1 and 2				
IEPs with at least one person from each of categories 1 and 2	50.2 (2.6)	30.1 (6.1)	39.5 (3.0)	20.2 (5.4)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ IEPs that did not note the title or position of the participant or signer could not be classified.

Table E.2

TYPES OF PERSONS WHO PARTICIPATED IN THE IEP PROCESS IN THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Classification of Participants	Percent[a] of IEPs with Persons Indicated as Being a:			
	Basic Survey			State Facility
	Regular	Special	Total	
Category 1: Teachers and Therapists				
One or more regular classroom teachers	13.6 (1.7)	6.9 (3.0)	13.3 (1.6)	7.6 (2.2)
One special education teacher	28.5 (2.4)	13.7 (4.2)	27.9 (2.4)	4.7 (1.9)
Two or more special education teachers	4.8 (0.7)	3.2 (1.5)*	4.7 (0.7)	1.0 (0.6)*
Speech or language therapist	21.7 (2.1)	14.2 (3.1)	21.4 (2.0)	18.4 (4.6)
Physical or occupational therapist(s)	0.1 (0.1)*	5.2 (1.5)	0.3 (0.1)*	5.0 (1.5)
Other therapist(s)	0.6 (0.3)*	1.6 (0.8)*	0.7 (0.3)*	4.0 (2.9)*
Physical education teacher(s)	0.4 (0.3)*	6.0 (3.1)	0.6 (0.3)*	1.0 (0.6)*
One of the above, but can't tell which	35.7 (2.7)	51.7 (5.1)	36.4 (2.7)	43.7 (6.0)
At least one of the above	74.4 (2.2)	74.5 (3.4)	74.4 (2.2)	62.3 (5.8)
Category 2: Administrative Representatives				
LEA representative(s)	21.2 (2.4)	25.8 (5.7)	21.4 (2.4)	14.1 (4.5)
Principal or assistant principal(s)	34.3 (2.9)	33.2 (5.7)	34.2 (2.9)	14.4 (5.5)
School representative(s)	6.5 (1.6)	4.0 (2.4)*	6.4 (1.6)	3.6 (4.8)
Case manager(s), chairperson	15.6 (2.5)	21.7 (4.7)	15.9 (2.5)	4.3 (1.3)*
Supervisor	1.7 (0.5)	2.7 (2.3)*	1.7 (0.5)	10.3 (5.0)
At least one of the above	59.5 (2.9)	64.6 (5.1)	59.7 (2.8)	35.7 (6.5)
Category 3: Ancillary Personnel				
School psychologist or psychometrist(s)	14.0 (1.9)	8.4 (4.1)	13.7 (1.9)	9.3 (2.3)
Counselor(s)	10.2 (1.5)	5.4 (2.5)	10.0 (1.5)	2.1 (0.9)*
Social worker(s)	3.4 (0.9)	0.1 (0.0)*	3.3 (0.8)	5.3 (1.8)
Nurse	4.8 (1.8)	6.4 (3.3)	4.9 (1.8)	3.5 (1.6)*
At least one of the above	24.5 (2.6)	16.1 (3.9)	24.2 (2.6)	14.0 (2.6)
Category 4: Parents				
Parent(s), guardian(s), or surrogate(s)	62.4 (2.5)	66.7 (4.0)	62.6 (2.5)	50.4 (5.2)
Category 5: Student				
Student	2.9 (0.7)	4.7 (1.7)*	2.9 (0.7)	5.5 (1.7)
Category 6: Could Not Classify and Other				
Could not classify[b]	19.2 (2.0)	19.5 (3.9)	19.2 (1.9)	11.2 (2.4)
Other	11.0 (1.4)	11.3 (3.3)	11.0 (1.4)	17.3 (3.6)
At least one of the above	28.1 (2.1)	27.3 (5.2)	28.0 (2.1)	26.5 (4.0)
Category 7: Mandated Personnel				
IEPs with at least one person from each of categories 1, 2, and 4	36.2 (2.4)	35.0 (4.3)	36.2 (2.3)	21.2 (4.4)
Category 8: Categories 1 and 2				
IEPs with at least one person from each of categories 1 and 2	50.2 (2.7)	50.3 (4.9)	50.2 (2.6)	30.1 (6.1)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ IEPs that did not note the title or position of the participant or signer could not be classified.

Table E.3

CATEGORIES OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE STATE/SPECIAL FACILITY IEP PROCESS, BY STUDENT AGE
(In percents, with standard errors noted in parentheses)

Classification of Participants	Percent[a/] of IEPs With Persons Indicated as Being a Participant by Student Age				Total 3-21
	3-5	6-12	13-18	16-21	
Category 1: Teachers and Therapists	59.9 (12.3)	70.7 (8.0)	61.9 (9.6)	51.7 (6.7)	62.3 (5.8)
Category 2: Administrative Representative	41.5 (16.5)	41.0 (8.6)	28.3 (7.1)	34.5 (6.7)	35.7 (6.5)
Category 3: Ancillary Personnel	4.9 (3.0)*	12.1 (4.0)*	12.9 (4.4)*	20.8 (5.7)	14.0 (2.6)
Category 4: Parents	71.0 (17.5)	58.0 (6.8)	40.3 (7.8)	44.4 (8.5)	50.4 (5.2)
Category 5: Student	0.0 (0.0)*	4.7 (3.7)*	4.6 (2.4)*	9.4 (3.6)*	5.5 (1.9)
Category 6: Could Not Classify[b/] and Other	37.3 (18.1)	19.2 (5.5)	25.0 (6.1)	35.2 (8.2)	26.5 (4.0)
Category 7: Mandated Personnel IEPs with at least one person from each of categories 1, 2, and 4	29.8 (12.6)*	29.0 (6.3)	13.5 (3.9)*	15.9 (6.2)	21.2 (4.4)
Category 8: Categories 1 and 2 IEPs with at least one person from each of categories 1 and 2	30.4 (12.7)*	38.4 (8.6)	25.5 (6.7)	23.1 (5.6)	30.1 (6.1)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ IEPs that did not note the title or position of the participant or signer could not be classified.

Table E.4

CATEGORIES OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE STATE/SPECIAL FACILITY IEP PROCESS, BY SEVERITY OF HANDICAPPING CONDITION OF STUDENTS
(In percents, with standard errors noted in parentheses)

Classification of Participants	Percent[a/] of IEPs With Persons Indicated as Being Participants by Severity of Student Handicap			
	Mild	Moderate	Severe	Total
Category 1: Teachers and Therapists	59.5 (15.0)	70.8 (9.8)	56.6 (7.2)	62.3 (5.8)
Category 2: Administrative Representative	37.6 (17.0)*	46.7 (11.0)	28.7 (5.6)	35.7 (6.5)
Category 3: Ancillary Personnel	6.6 (4.0)*	14.1 (5.0)*	16.9 (3.2)	14.0 (2.6)
Category 4: Parents	48.2 (11.0)	54.1 (8.6)	46.2 (6.8)	50.4 (5.2)
Category 5: Student	0.4 (0.4)*	5.3 (3.8)*	7.4 (2.8)*	5.5 (1.9)
Category 6: Could Not Classify[b/] and Other	11.2 (5.6)*	22.1 (4.9)	30.5 (4.5)	26.5 (4.0)
Category 7: Mandated Personnel IEPs with at least one person from each of categories 1, 2, and 4	23.9 (10.2)*	28.9 (7.7)	15.2 (3.9)	21.2 (4.4)
Category 8: Categories 1 and 2 IEPs with at least one person from each of categories 1 and 2	33.7 (16.7)*	41.8 (11.4)	21.5 (4.3)	30.1 (6.1)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ IEPs that did not note the title or position of the participant or signer could not be classified.

Table E.5

TEACHER REPORT OF PARENT AND STUDENT PARTICIPATION IN THE IEP PROCESS, BY STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Questions About Participation In IEP Development and Approval	Teacher Affirmative Responses[a/]			
	Basic Survey			State Facility
	Regular	Special	Total	
Did a parent or guardian approve the IEP by signing it?[b/]	76.2 (2.3)	76.1 (4.0)	76.2 (2.3)	68.8 (5.9)
Did a parent or guardian verbally (in person or by telephone) approve the IEP?	77.1 (1.7)	76.8 (3.6)	77.0 (1.6)	79.6 (4.0)
Did a parent or guardian refuse to approve the IEP on the basis of his/her considering it inappropriate?	0.2 (0.2)*	0.0 (0.0)*	0.2 (0.2)*	0.0 (0.0)*
Did a parent or guardian discuss the completed IEP with a teacher, counselor, or other school representative?	75.4 (1.8)	79.2 (3.1)	75.6 (1.8)	82.6 (2.6)
Did a parent or guardian meet with the IEP committee to discuss the developed IEP?	55.1 (2.2)	56.3 (4.6)	55.2 (2.1)	65.6 (4.7)
Did a parent or guardian participate in the development of the IEP; that is, did he/she meet with the IEP committee during the development process and provide inputs to the IEP?	49.4 (2.2)	47.5 (4.1)	49.3 (2.1)	59.9 (6.2)
Has the student discussed his/her IEP with a teacher, counselor, or other school representative?	35.9 (2.1)	24.3 (4.8)	35.4 (2.0)	21.3 (5.6)
Did the student participate in the development of the IEP, that is, did he/she meet with the IEP committee during the development process and provide inputs to the IEP?	9.9 (1.0)	9.3 (2.7)	9.9 (1.0)	10.9 (3.6)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ The percents in this row will not agree with figures shown in Table E.1 because these are two different data sources.

Table E.6

TEACHER RESPONSES CONCERNING THE NATURE OF PARENT, GUARDIAN, AND STUDENT PARTICIPATION IN STATE/SPECIAL FACILITY IEP DEVELOPMENT, BY STUDENT AGE
(In percents, with standard errors noted in parentheses)

Questions About Participation In IEP Development and Approval	Teacher Affirmative Responses[a/]				Total
	3-5	6-12	13-15	16-21	3-21
Did a parent or guardian approve the IEP by signing it?[b/]	92.7 (4.0)	69.9 (6.9)	69.8 (7.1)	58.9 (11.0)	68.8 (5.9)
Did a parent or guardian verbally (in person or by telephone) approve the IEP?	98.4 (1.2)	82.3 (4.2)	78.3 (5.8)	71.3 (5.8)	79.6 (4.0)
Did a parent or guardian refuse to approve the IEP on the basis of his/her considering it inappropriate?	0.0 (0.0)*	0.0 (0.0)*	0.0 (0.0)*	0.0 (0.0)*	0.0 (0.0)*
Did a parent or guardian discuss the completed IEP with a teacher, counselor, or other school representative?	95.5 (3.2)	88.9 (3.2)	78.5 (4.9)	74.1 (5.7)	82.6 (2.6)
Did a parent or guardian meet with the IEP committee to discuss the developed IEP?	90.2 (5.0)	67.8 (5.1)	61.6 (5.3)	59.4 (8.5)	65.6 (4.7)
Did a parent or guardian participate in the development of the IEP; that is, did he/she meet with the IEP committee during the development process and provide inputs to the IEP?	90.0 (5.0)	57.5 (6.9)	62.5 (6.3)	51.0 (10.1)	59.9 (6.2)
Has the student discussed his/her IEP with a teacher, counselor, or other school representative?	0.0 (0.0)*	11.5 (4.6)*	28.7 (9.2)	33.8 (8.9)	21.3 (5.6)
Did the student participate in the development of the IEP, that is, did he/she meet with the IEP committee during the development process and provide inputs to the IEP?	0.0 (0.0)*	2.2 (0.9)*	12.1 (5.6)*	25.7 (7.7)	10.9 (3.6)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ The percents in this row will not agree with figures shown in Table E.1 because these are two different data sources.

Table E.7

TEACHER REPORT OF PARENT AND STUDENT PARTICIPATION IN THE STATE/SPECIAL FACILITY IEP PROCESS, BY SEVERITY OF HANDICAPPING CONDITION
(In percents, with standard errors noted in parentheses)

Questions About Participation In IEP Development and Approval	Affirmative Responses by the Teacher[a/]			Total
	Mild	Moderate	Severe	
Did a parent or guardian approve the IEP by signing it?[b/]	59.1 (12.5)	72.4 (6.0)	67.4 (7.8)	68.8 (5.9)
Did a parent or guardian verbally (in person or by telephone) approve the IEP?	82.2 (10.1)	85.9 (4.2)	72.9 (4.7)	79.6 (4.0)
Did a parent or guardian refuse to approve the IEP on the basis of his/her considering it inappropriate?	0.0 (0.0)*	0.0 (0.0)*	0.0 (0.0)*	0.0 (0.0)*
Did a parent or guardian discuss the completed IEP with a teacher, counselor, or other school representative?	87.3 (7.3)	87.3 (3.5)	76.6 (3.5)	82.6 (2.6)
Did a parent or guardian meet with the IEP committee to discuss the developed IEP?	67.4 (7.7)	72.2 (5.4)	58.0 (6.8)	65.6 (4.7)
Did a parent or guardian participate in the development of the IEP; that is, did he/she meet with the IEP committee during the development process and provide inputs to the IEP?	57.9 (6.3)	64.8 (7.6)	54.3 (8.1)	59.9 (6.2)
Has the student discussed his/her IEP with a teacher, counselor, or other school representative?	21.6 (7.7)*	15.9 (6.7)*	23.7 (7.8)	21.3 (5.6)
Did the student participate in the development of the IEP, that is, did he/she meet with the IEP committee during the development process and provide inputs to the IEP?	0.6 (0.5)*	6.8 (3.5)*	18.1 (5.9)	10.9 (3.6)

* Cell has estimated sample size of less than 25.

a/ Based on the estimated total number of students with IEPs, adjusted for nonresponse.

b/ The percents in this row will not agree with figures shown in Table E.1 because these are two different data sources.

Table E.8

MEAN NUMBER[a/] OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE IEP PROCESS, BY CATEGORY FOR THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Classification of Participants	Basic Survey			State Facility
	Regular	Special	Total	
Category 1: Teachers and Therapists	1.38 (0.06)	1.45 (0.14)	1.39 (0.06)	1.48 (0.10)
Category 2: Administrative Representatives	0.90 (0.05)	1.03 (0.11)	0.91 (0.05)	0.75 (0.17)
Category 3: Ancillary Personnel	0.38 (0.04)	0.23 (0.07)	0.37 (0.04)	0.28 (0.06)
Category 4: Parents[b/]				
Category 5: Student[b/]				
Category 6: Could Not Classify[c/] and Other	0.58 (0.07)	0.56 (0.13)	0.58 (0.06)	0.76 (0.15)
Category 7: Mandated Personnel IEPs with at least one person from each of categories 1, 2, and 4	3.00 (0.08)	3.24 (0.16)	3.01 (0.08)	2.98 (0.23)
Category 8: Categories 1 and 2 IEPs with at least one person from each of categories 1 and 2	2.29 (0.07)	2.48 (0.15)	2.30 (0.07)	2.22 (0.23)
Total: Categories 1-6	3.99 (0.09)	4.08 (0.19)	3.99 (0.09)	4.10 (0.33)

a/ Based on IEPs with at least one participant, 72.6 percent of all IEPs.

b/ Not applicable for means.

c/ IEPs that did not note the title or position of the participant or signer could not be classified.

Table E.9

MEAN NUMBER OF SCHOOL PERSONNEL WHO PARTICIPATED IN THE IEP PROCESS, BY AGE AND CATEGORY FOR THE STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Classification of Participants	Percent[a/] of IEPs with Persons Indicated as Being a Participant by Student Age				Total 3-21
	3-5	6-12	13-15	16-21	
Category 1: Teachers and Therapists	1.22 (0.14)	1.70 (0.17)	1.31 (0.12)	1.37 (0.16)	1.48 (0.10)
Category 2: Administrative Representatives	0.57 (0.16)	0.81 (0.21)	0.67 (0.19)	0.79 (0.25)	0.75 (0.17)
Category 3: Ancillary Personnel	0.10 (0.07)	0.28 (0.09)	0.22 (0.07)	0.44 (0.12)	0.28 (0.06)
Category 4: Parents[b/]					
Category 5: Student[b/]					
Category 6: Could Not Classify[c/] and Other	0.82 (0.32)	0.46 (0.13)	0.81 (0.20)	1.15 (0.28)	0.76 (0.15)
Category 7: Mandated Personnel IEPs with at least one person from each of categories 1, 2, and 4	2.68 (0.26)	3.35 (0.32)	2.66 (0.25)	2.85 (0.31)	2.98 (0.23)
Category 8: Categories 1 and 2 IEPs with at least one person from each of categories 1 and 2	1.79 (0.20)	2.52 (0.33)	1.98 (0.21)	2.16 (0.28)	2.22 (0.23)
Total: Categories 1-6	3.61 (0.29)	4.15 (0.43)	3.80 (0.41)	4.58 (0.43)	4.10 (0.33)

a/ Based on IEPs with at least one participant, 72.6 percent of all IEPs.

b/ Not applicable for means.

c/ IEPs that did not note the title or position of the participant or signer could not be classified.

Appendix F

Supporting Data for Chapter 6

Table F.1

PROPORTION OF STATE/SPECIAL FACILITY IEPs THAT CONTAIN A STATEMENT OF: (1) PRESENT LEVEL OF FUNCTIONING, (2) NEED, AND (3) NORMAL FUNCTIONING, BY ACADEMIC AND FUNCTIONAL AREAS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Percent of IEPs with Statement of:[a/]		
	Present Level Of Functioning	Need	Normal Functioning
1. Reading or oral or written English	57.1 (6.5)	51.4 (6.2)	31.2 (5.4)
2. Mathematics	41.7 (7.8)	35.9 (6.9)	22.6 (6.1)
3. Other academic[b/]	61.6 (4.8)	51.9 (5.9)	30.0 (5.4)
4. Social adaptation	50.2 (5.7)	38.6 (5.4)	33.6 (6.0)
5. Self-help skills	31.0 (5.1)	25.4 (5.5)	20.1 (3.3)
6. Emotional	5.8 (3.0)	5.4 (3.0)	0.5 (0.3)*
7. Physical education	9.4 (2.8)	5.5 (1.7)	6.8 (2.1)
8. Motor skills	38.8 (4.5)	28.7 (5.2)	23.7 (3.4)
9. Speech	31.0 (5.7)	28.8 (5.7)	15.4 (3.0)
10. Visual acuity	9.6 (2.3)	6.5 (2.0)	4.3 (1.2)*
11. Hearing	18.6 (4.2)	14.3 (4.1)	6.7 (1.8)
12. Vocational/ prevocational	11.0 (4.9)	8.0 (3.3)	8.8 (4.3)
13. Other[c/]	1.5 (0.6)*	13.7 (2.2)	9.0 (2.6)

* Cell has estimated sample size of less than 25.

a/ Percents are based on the estimated population of students with IEPs.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.2

PROPORTION[a/] OF IEPs THAT CONTAIN A STATEMENT OF PRESENT LEVEL OF FUNCTIONING, BY ACADEMIC OR FUNCTIONAL AREAS IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Basic Survey			State Facility
	Regular	Special	Total	
1. Reading or oral or written English	65.1 (2.4)	68.2 (5.3)	65.2 (2.3)	57.1 (6.5)
2. Mathematics	52.9 (2.2)	60.0 (5.7)	53.1 (2.1)	41.7 (7.8)
3. Other academic[b/]	39.0 (2.3)	49.7 (4.6)	39.5 (2.3)	61.6 (4.8)
4. Social adaptation	32.2 (2.5)	50.4 (4.8)	33.0 (2.4)	50.2 (5.7)
5. Self-help skills	9.0 (1.5)	27.6 (5.0)	9.8 (1.4)	31.0 (5.1)
6. Emotional	1.8 (0.5)	3.2 (1.1)*	1.9 (0.5)	5.8 (3.0)
7. Physical education	2.9 (0.8)	14.0 (4.4)	3.4 (0.8)	9.4 (2.8)
8. Motor skills	22.5 (2.4)	36.6 (5.2)	23.2 (2.3)	38.8 (4.5)
9. Speech	33.8 (2.0)	24.8 (3.8)	33.4 (2.0)	31.0 (5.7)
10. Visual acuity	19.2 (2.2)	14.7 (3.0)	19.0 (2.2)	9.6 (2.3)
11. Hearing	19.2 (1.6)	15.8 (3.6)	19.1 (1.6)	18.6 (4.2)
12. Vocational/ prevocational	5.6 (0.9)	18.4 (4.2)	6.2 (0.9)	11.0 (4.9)
13. Other[c/]	8.6 (1.6)	16.9 (4.0)	9.0 (1.6)	1.5 (0.6)*

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.3

PROPORTION[a] OF IEPs THAT CONTAIN A STATEMENT OF NEED BY ACADEMIC OR FUNCTIONAL AREAS IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Basic Survey			State Facility
	Regular	Special	Total	
1. Reading or oral or written English	61.0 (2.3)	64.5 (5.3)	61.2 (2.2)	51.4 (6.2)
2. Mathematics	47.3 (2.1)	54.8 (5.7)	47.7 (2.1)	35.9 (6.9)
3. Other academic[b]	30.7 (2.0)	39.8 (4.0)	31.1 (1.9)	51.9 (5.9)
4. Social adaptation	19.5 (1.5)	41.6 (4.0)	20.5 (1.5)	38.6 (5.4)
5. Self-help skills	3.7 (0.7)	21.2 (4.3)	4.5 (0.7)	25.4 (5.5)
6. Emotional	1.1 (0.2)*	2.3 (0.9)*	1.1 (0.2)	5.4 (3.0)
7. Physical education	1.1 (0.5)*	8.7 (2.7)	1.5 (0.5)	5.5 (1.7)
8. Motor skills	14.5 (1.3)	28.5 (4.5)	15.1 (1.3)	28.7 (5.2)
9. Speech	29.8 (1.9)	20.7 (3.1)	29.4 (1.8)	28.8 (5.7)
10. Visual acuity	11.6 (1.4)	8.6 (1.7)	11.4 (1.3)	6.5 (2.0)
11. Hearing	12.3 (1.0)	9.6 (2.5)	12.2 (1.0)	14.3 (4.1)
12. Vocational/ prevocational	3.3 (0.6)	12.5 (3.0)	3.7 (0.6)	8.0 (3.3)
13. Other[c]	4.5 (0.7)	11.3 (2.9)	4.8 (0.7)	13.7 (2.2)

* Cell has estimated sample size of less than 25.

[a] Percents are based on column estimated population totals, adjusted for nonresponse.

[b] Includes the combined academic areas of science, social science, general academic, and other academic.

[c] Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.4

PROPORTION[a] OF IEPs THAT CONTAIN A STATEMENT OF NORMAL FUNCTIONING, BY ACADEMIC OR FUNCTIONAL AREAS IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Basic Survey			State Facility
	Regular	Special	Total	
1. Reading or oral or written English	24.9 (1.8)	31.6 (4.0)	25.2 (1.8)	31.2 (5.4)
2. Mathematics	17.5 (1.5)	25.8 (4.1)	17.9 (1.5)	22.6 (6.1)
3. Other academic[b]	19.6 (1.6)	29.5 (3.9)	20.1 (1.6)	30.0 (5.4)
4. Social adaptation	21.4 (2.2)	30.4 (4.8)	21.8 (2.1)	33.6 (6.0)
5. Self-help skills	6.6 (1.2)	18.3 (3.8)	7.1 (1.1)	20.1 (3.3)
6. Emotional	0.9 (0.5)*	1.0 (0.5)*	0.9 (0.5)*	0.5 (0.3)*
7. Physical education	2.0 (0.5)	8.7 (3.3)	2.3 (0.5)	6.8 (2.1)
8. Motor skills	13.1 (1.8)	22.5 (4.0)	13.6 (1.8)	23.7 (3.4)
9. Speech	9.9 (1.2)	9.0 (2.0)	9.8 (1.1)	15.4 (3.0)
10. Visual acuity	10.3 (1.6)	9.1 (2.7)	10.3 (1.6)	4.3 (1.2)*
11. Hearing	9.5 (1.4)	8.5 (2.4)	9.5 (1.4)	6.7 (1.8)
12. Vocational/ prevocational	3.6 (0.7)	13.3 (3.6)	4.1 (0.7)	8.8 (4.3)
13. Other[c]	4.9 (1.3)	11.1 (3.5)	5.2 (1.3)	9.0 (2.6)

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.5

PROPORTION OF STATE/SPECIAL FACILITY IEPs THAT CONTAIN ASSESSMENT RELATED INFORMATION, BY SPECIFIC ACADEMIC OR FUNCTIONAL AREAS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Present Level of Functioning Specified[a/]	Contains Supporting Assessment Data[a/]
1. Reading or oral or written English	57.1 (6.5)	19.5 (4.2)
2. Mathematics	41.7 (7.8)	15.8 (4.0)
3. Other academic[b/]	61.6 (4.8)	10.4 (4.0)
4. Social adaptation	50.2 (5.7)	4.9 (2.8)*
5. Self-help skills	31.0 (5.1)	3.3 (1.8)*
6. Emotional	5.8 (3.0)	0.1 (0.1)*
7. Physical education	9.4 (2.8)	0.8 (0.4)*
8. Motor skills	38.8 (4.5)	2.5 (0.9)*
9. Speech	31.0 (5.7)	6.2 (2.7)
10. Visual acuity	9.6 (2.3)	0.6 (0.4)*
11. Hearing	18.6 (4.2)	3.7 (1.6)
12. General physical health	11.1 (2.6)	0.3 (0.2)*
13. Vocational/ prevocational	11.0 (4.9)	2.5 (1.4)*
14. Other[c/]	1.5 (0.6)*	0.4 (0.2)*

* Cell has estimated sample size of less than 25.

a/ Percents are based on estimated population of students with IEPs, adjusted for nonresponse.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.6

DISTRIBUTION[a/] OF IEPs WHICH CONTAIN AT LEAST ONE ANNUAL GOAL STATEMENT PER FUNCTIONAL AREA BY REGULAR AND SPECIAL SCHOOLS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Basic Survey			State Facility
	Regular	Special	Total	
1. Reading or oral or written English	59.5 (2.2)	69.3 (4.3)	60.0 (2.0)	64.7 (5.6)
2. Mathematics	42.3 (2.0)	58.4 (4.6)	43.0 (1.9)	52.8 (6.6)
3. Other academic[b/]	31.7 (1.8)	44.0 (4.4)	32.3 (1.8)	57.1 (5.9)
4. Social adaptation	20.2 (1.3)	45.4 (4.5)	21.3 (1.4)	48.7 (6.1)
5. Self-help skills	3.3 (0.5)	26.4 (4.4)	4.4 (0.6)	35.5 (7.8)
6. Emotional	0.4 (0.2)*	0.4 (0.3)*	0.4 (0.1)*	4.0 (1.9)*
7. Physical education	3.1 (0.9)	17.9 (4.7)	3.7 (0.9)	15.9 (3.5)
8. Motor skills	10.9 (1.2)	31.7 (5.0)	11.8 (1.1)	43.7 (5.7)
9. Speech	28.2 (1.9)	19.8 (3.3)	27.9 (1.8)	30.0 (5.4)
10. Visual acuity	7.0 (0.9)	4.4 (1.3)*	6.8 (0.8)	8.1 (2.5)
11. Hearing	7.7 (1.0)	2.3 (0.8)*	7.4 (0.9)	9.2 (3.4)
12. Vocational/ prevocational	7.1 (0.9)	25.9 (4.5)	7.9 (1.0)	20.4 (3.9)
13. Other[c/]	2.4 (0.5)	13.9 (3.6)	2.9 (0.5)	17.8 (3.6)

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.7

DISTRIBUTION[a/] OF IEPs WHICH CONTAIN AT LEAST ON SHORT-TERM OBJECTIVE, BY ACADEMIC OR FUNCTIONAL AREA IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Basic Survey			State Facility
	Regular	Special	Total	
1. Reading or oral or written English	64.4 (2.0)	66.5 (5.0)	62.5 (1.9)	64.5 (6.1)
2. Mathematics	44.8 (1.9)	60.4 (5.5)	45.5 (1.8)	55.2 (7.1)
3. Other academic[b/]	30.0 (1.8)	45.4 (4.7)	30.7 (1.8)	61.8 (6.0)
4. Social adaptation	17.3 (1.1)	37.0 (5.0)	18.2 (1.1)	43.8 (5.3)
5. Self-help skills	3.7 (0.7)	26.8 (4.4)	4.7 (0.7)	45.0 (10.9)
6. Emotional	0.3 (0.1)*	0.4 (0.2)*	0.3 (0.1)*	5.2 (1.3)
7. Physical education	2.8 (0.5)	19.0 (5.0)	3.5 (0.1)	18.0 (4.2)
8. Motor skills	12.0 (1.1)	33.3 (4.8)	13.0 (1.0)	41.1 (5.8)
9. Speech	28.6 (2.0)	20.6 (3.6)	28.2 (1.9)	27.3 (5.0)
10. Visual acuity	6.4 (0.9)	5.4 (1.2)	6.3 (0.8)	5.3 (1.2)
11. Hearing	8.4 (1.1)	4.4 (1.2)*	8.2 (1.0)	10.1 (2.8)
12. Vocational/ prevocational	6.9 (0.9)	25.4 (4.5)	7.8 (0.9)	18.4 (3.8)
13. Other[c/]	2.3 (0.4)	14.9 (3.9)	2.9 (0.4)	18.5 (3.9)

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.8

DISTRIBUTION OF STATE/SPECIAL FACILITY IEPs WHICH CONTAIN AT LEAST ONE SHORT-TERM OBJECTIVE, BY ACADEMIC AND FUNCTIONAL AREAS AND LEVELS
(In percents, with standard errors noted in parentheses)

Academic or Functional Area	Student Age Levels[a/]				Total Ages 3-21
	3-5	6-12	13-15	16-21	
1. Reading or oral or written English	54.3 (16.3)	60.7 (7.3)	73.1 (7.5)	63.6 (8.8)	64.5 (6.1)
2. Mathematics	30.7 (13.5)*	52.0 (10.1)	61.3 (9.1)	60.7 (8.6)	55.2 (7.1)
3. Other academic[b/]	75.4 (9.5)	58.5 (7.3)	70.8 (7.7)	52.5 (9.0)	61.8 (6.0)
4. Social adaptation	52.9 (10.8)	40.8 (5.9)	41.9 (8.6)	47.3 (8.4)	43.8 (5.3)
5. Self-help skills	32.2 (7.1)*	64.8 (17.1)	31.9 (8.8)	11.7 (4.9)*	45.0 (10.9)
6. Emotional	2.7 (2.1)*	5.6 (3.4)*	6.4 (3.9)*	4.1 (2.9)*	5.2 (1.3)*
7. Physical education	0.6 (0.7)*	18.1 (5.6)	18.2 (6.2)	23.1 (5.7)	18.0 (4.2)
8. Motor skills	69.4 (16.1)	58.7 (7.1)	23.7 (6.2)	26.3 (6.2)	41.1 (5.8)
9. Speech	33.3 (13.7)*	39.4 (8.0)	18.8 (4.8)	17.4 (4.7)	27.3 (5.0)
10. Visual acuity	3.4 (2.0)*	7.1 (4.2)*	11.7 (2.8)*	7.4 (3.0)*	5.3 (1.2)*
11. Hearing	7.1 (4.2)*	11.7 (2.8)*	7.4 (3.0)*	11.9 (5.1)*	10.1 (2.8)*
12. Vocational/ prevocational	0.0 (0.0)*	3.9 (1.5)*	22.1 (7.3)	40.8 (7.3)	18.4 (3.8)
13. Other[c/]	13.2 (5.9)*	16.5 (5.4)	15.4 (6.2)*	26.2 (6.7)	18.5 (3.9)

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse.

b/ Includes the combined academic areas of science, social science, general academic, and other academic.

c/ Includes such functional areas as general physical health and kinesthetic or perceptual skills.

Table F.9

DISTRIBUTION OF IEPs WITH RELATED SERVICES IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Service Classifications	Percent of IEPs Having Service Specified for Students in:			
	Basic Survey			State Facility
	Regular	Special	Total	
None	87.7 (1.8)	77.4 (4.0)	87.2 (1.7)	64.6 (6.6)
Single related service	9.6 (1.5)	11.6 (2.5)	9.7 (1.4)	17.3 (4.9)
Two related services	2.1 (0.7)	4.3 (1.5)*	2.2 (0.7)	5.7 (1.4)
Three related services	0.6 (0.2)*	5.6 (1.9)	0.8 (0.2)*	3.3 (1.1)*
Four related services	0.1 (0.1)*	1.2 (0.6)*	0.2 (0.1)*	7.7 (5.7)
Five related services	0.0 (0.0)*	0.1 (0.1)*	0.0 (0.0)*	1.4 (0.7)*
Total	100.0[a/]	100.0[a/]	100.0[a/]	100.0

* Cell has estimated sample size of less than 25.

a/ Detail does not add to total because of rounding.

Table F.10

TYPES OF RELATED SERVICES SPECIFIED IN IEPs IN STATE/SPECIAL FACILITY AND BASIC SURVEY POPULATIONS
(In percents, with standard errors noted in parentheses)

Related Services	Percent of IEPs Having Service Specified for Students in:[a/]			
	Basic Survey			State Facility
	Regular	Special	Total	
Audiology	0.4 (0.2)*	0.8 (0.7)*	0.4 (0.2)*	7.1 (5.5)
Counseling	2.2 (0.4)	1.4 (0.8)*	2.2 (0.4)	8.8 (5.8)
Medical services	1.0 (0.4)*	4.3 (2.5)*	4.2 (0.4)	2.3 (1.2)*
Occupational therapy	0.9 (0.6)*	3.9 (1.3)*	1.0 (0.6)	4.2 (1.3)*
Parent counseling and training	0.2 (0.1)*	0.0 (0.0)*	0.2 (0.1)*	0.9 (0.5)*
Physical therapy	0.7 (0.6)*	4.2 (1.5)*	0.9 (0.6)*	6.7 (1.9)
Psychological services	1.0 (0.4)*	4.7 (2.4)	1.2 (0.4)	8.2 (5.5)
Recreation	0.0 (0.0)*	0.8 (0.7)*	0.1 (0.0)*	4.4 (2.3)*
Social work service	0.6 (0.2)*	2.9 (1.5)*	0.7 (0.2)*	1.2 (0.5)*
Transportation	5.2 (1.2)	13.6 (3.5)	5.5 (1.2)	15.8 (4.2)
Other[b/]	3.8 (1.0)	5.2 (1.6)	3.9 (1.0)	17.7 (5.9)

* Cell has estimated sample size of less than 25.

a/ Percents are based on column estimated population totals, adjusted for nonresponse. Because some students received more than one related service, percents may total more than 35.4 percent (the percent of students who received related services).

b/ Includes such services as tutoring, dental services, and vocational rehabilitation.

Appendix G

Supporting Data for Chapter 7

Table G.1

DISTRIBUTION OF IEPs CONTAINING VARIOUS COMBINATIONS OF NEED STATEMENTS, GOALS, AND OBJECTIVES IN SELECTED FUNCTIONAL AREAS
(In percents, with standard errors noted in parentheses)

Academic or Functional Areas	Sample Size	Combinations[a/]							
		Needs, Goals, and Objectives	Needs and Goals Only	Needs and Objectives Only	Needs Only	Goals and Objectives Only	Goals Only	Objectives Only	Total
1. Reading or oral or written English	403	52.0 (7.7)	3.6 (1.8)*	1.6 (0.9)*	8.5 (2.2)	22.5 (5.2)	5.1 (1.8)*	6.7 (2.1)	100.0
2. Mathematics	339	43.8 (7.8)	4.5 (2.4)*	1.8 (1.1)*	5.2 (1.8)*	29.9 (5.7)	4.5 (2.7)*	10.4 (3.3)	100.0[b/]
3. Social adaptation	375	34.0 (4.8)	9.6 (3.3)	5.0 (1.9)*	12.9 (3.4)	26.0 (5.6)	7.9 (2.4)	4.6 (1.9)*	100.0
4. Self-help skills	267	43.0 (9.9)	4.8 (3.6)*	3.2 (1.9)*	9.2 (3.2)*	27.6 (7.9)	9.3 (5.9)*	2.9 (1.7)*	100.0
5. Physical education	145	18.4 (6.8)	1.4 (1.4)*	1.7 (1.1)*	3.5 (1.2)*	40.3 (8.9)	14.3 (7.7)*	20.5 (9.1)	100.0[b/]
6. Motor skills	376	42.4 (7.2)	3.6 (2.1)*	3.2 (1.5)*	5.8 (1.4)*	27.8 (5.6)	11.1 (4.8)	6.1 (2.0)*	100.0
7. Speech	266	39.3 (8.5)	13.2 (5.7)	3.3 (1.6)*	15.5 (3.9)	18.0 (6.6)	3.9 (2.6)*	6.9 (2.6)*	100.0[b/]
8. Visual acuity	131	5.4 (3.3)*	2.1 (1.5)*	1.9 (1.5)*	33.3 (9.1)	15.9 (5.9)*	29.7 (11.5)	11.8 (4.9)*	100.0[b/]
9. Hearing	169	11.9 (5.5)*	5.0 (2.5)*	2.0 (1.1)*	42.6 (13.3)	16.6 (7.2)	7.7 (3.5)*	14.2 (5.4)*	100.0
10. Vocational/ prevocational	136	15.6 (4.2)*	5.6 (4.2)*	2.6 (2.1)*	8.2 (4.8)*	48.0 (9.7)	12.7 (4.5)*	7.3 (2.6)*	100.0

* Cell has estimated sample size of less than 25.

a/ Percents for each academic/functional area are based on the number of IEPs with at least one of the three information items in that area (i.e., a need, goal, or objective).

b/ Detail does not add to total because of rounding.

Table G.2

DISTRIBUTION[a/] OF IEPs CONTAINING SELECTED COMBINATIONS OF NEED STATEMENTS, GOALS AND OBJECTIVES IN SELECTED FUNCTIONAL AREAS FOR BASIC SURVEY AND STATE/SPECIAL FACILITY POPULATIONS
(In percents, with standard errors noted in parentheses)

Academic or Functional Areas	Needs, Goals, and Objectives		Needs Only	
	Basic Survey	State Facility	Basic Survey	State Facility
1. Reading or oral or written English	60.7 (2.7)	52.0 (7.7)	7.7 (1.0)	8.5 (2.2)
2. Mathematics	48.3 (2.6)	43.8 (7.8)	15.4 (1.5)	5.2 (1.8)*
3. Social Adaptation	22.0 (2.2)	34.0 (4.8)	24.4 (2.3)	12.9 (3.4)
4. Self-help skills	17.9 (3.9)	43.0 (9.9)	28.0 (4.0)	9.2 (3.2)*
5. Physical education	8.3 (2.4)*	18.4 (6.8)	7.1 (2.5)*	3.5 (1.2)*
6. Motor skills	21.7 (2.8)	42.4 (7.2)	28.9 (3.1)	5.8 (1.4)*
7. Speech	51.8 (3.7)	39.3 (8.5)	12.4 (1.6)	15.5 (3.9)
8. Visual acuity	16.5 (2.6)	5.4 (3.3)*	44.7 (4.0)	33.3 (9.1)
9. Hearing	16.8 (2.7)	11.9 (5.5)*	37.0 (4.3)	42.6 (13.3)
10. Vocational/ prevocational	14.4 (3.2)	15.6 (4.2)*	13.7 (2.9)	8.2 (4.8)*

* Cell has estimated sample size of less than 25.

a/ Percents for each academic/functional area are based on the number of IEPs with at least one of the three information items in that area (i.e., a need, goal, or objective).

Additional Informaton Regarding the Informativeness and Internal Consistency of State/Special Facility IEPs

I. INTRODUCTION

While Chapters 3 and 4 generally present findings regarding discrete portions of state/special facility IEPs and discrete factors regarding those IEPs, this chapter attempts to provide a global view of the documents. The particular focus here is on overall informativeness and internal consistency; that is, the extent to which an IEP (a) communicates to teachers, parents, administrators, and other concerned personnel the pertinent details of the special education and related services to be provided, and (b) presents an internally consistent program for meeting the handicapped student's unique needs. The approach taken was to establish four categories or levels of IEPs, each of which represents a reasonably distinct level of informativeness and internal consistency.

It is important to note that this study was considered to be an exploratory investigation. Considerable difficulty was encountered in making decisions regarding the relative importance of various items of information that might be included in IEPs. While this was true for information mandated by the Act, it was particularly true for nonmandated information. It is fully recognized that there could be wide disagreement with the criteria adopted for the four IEP levels. Although the approach taken represents only one of many possible categorization schemes, it does provide a useful strategy for analyzing the strengths and weaknesses of IEPs.

The methodology used to develop and validate the four levels, the rationale for the levels, and the procedure for placing an IEP into one of the four levels is presented in Appendix G of Volume III. A description of the four levels is presented in Section II of this appendix. Section III provides data regarding the distribution of IEPs across the four levels for the State/Special Facility population and compares these distributions with those for the Basic Survey population. Section IV provides a summary of major findings of the exploratory study as they relate to the State/Special Facility Substudy.

II. DESCRIPTION OF IEP LEVELS

A. Level 1 IEP: Incomplete Information Document

The distinguishing feature of a Level 1 IEP was that, even when the most generous assumptions are made, it did not include the information required by Section 602 of the Education for all Handicapped Children Act of 1975 (P.L. 94-142).[1]

More specifically, a Level 1, or Incomplete Information, IEP did not include one or more of the following:

(1) Some statement that indicates at least the general nature of an educational need.

(2) An annual goal (or a statement that could be interpreted as representing an annual goal).

(3) A short-term objective (or a statement that could be interpreted as representing a short-term objective).

(4) Some indication of (a) the beginning date of service; (b) the anticipated duration of service; or, (c) in lieu of either "a" or "b," the extent to which the student would participate in the regular education program. (Any date, even the date the IEP was prepared, date of committee meeting, or a date with no indication of its intent satisfied the requirements for part "a." An end-of-service date, a proposed IEP review date, or simply a notation on the form that the goals are "annual" goals satisfied the requirements of part "b." A statement that the IEP was, for example, for the 1977-78 school year satisfied the requirements of both "a" and "b." Either the proportion of time or amount of time that the student was expected to spend in the regular education program [or in the special education setting] met the requirements of part "c.")

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[1] The Act states that a handicapped child's IEP shall include "(A) a statement of the present levels of educational performance of such child, (B) a statement of annual goals, including short-term instructional objectives, (C) a statement of the specific educational services to be provided to such child, and the extent to which such child will be able to participate in regular educational programs, (D) the projected date for initiation and anticipated-duration of such services, and (E) appropriate objective criteria and evaluation procedures and schedules for determining, on at least an annual basis, whether instructional objectives are being achieved."

B. Level 2 IEP: Minimally Informative Document

The distinguishing feature of a Level 2, or Minimally Informative, IEP was that it did, when generous assumptions were made, contain most[2] of the data mandated by Section 602 of the Act. However, a Level 2 IEP (1) contained little if any pertinent data that were not specifically mandated, (2) only marginally presented the mandated data, and (3) may or may not have been internally consistent.

C. Level 3 IEP: Informative and Internally Consistent Document

A Level 3, or Informative and Internally Consistent, IEP exceeded a Level 2 document in that it (1) required fewer assumptions to be made regarding the inclusion of the data mandated by Section 602 of the Act, (2) contained a limited amount of critical but not mandated information, and (3) maintained some degree of internal consistency.

More specifically, a Level 3 IEP contained:

(1) A more precise statement of beginning date and duration of service.

(2) More than one short-term objective for more than half of the academic/functional areas for which annual goals were included.

(3) A space for parental approval of the IEP and a listing of the participants in the IEP process; or, in lieu of one of these requirements, a listing of the personnel responsible for providing the special education services.

(4) At least one instance of a short-term objective that related to an annual goal that related to an area of indicated need.

D. Level 4 IEP: Exceptionally Informative and Internally Consistent Document

A Level 4, or Exceptionally Informative and Internally Consistent, IEP exceeded a Level 3 IEP in that it (1) contained additional important but not mandated information, (2) maintained a higher level of internal consistency,

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[2] While the Act requires the inclusion of the beginning date of service, the anticipated duration of service, and the extent to which the student would participate in the regular education program, a Level 2 IEP might fail to include one of these three items of information. Also, the Act requires criteria, procedures, and schedules for evaluating the short-term objectives. These items of information were required for a Level 2 IEP only to the extent that they were implied in the short-term objectives.

(3) contained more complete evaluation criteria for evaluating the short-term objectives, and (4) contained a certain minimum number of short-term objectives.

More specifically, a Level 4 IEP contained:

(1) The student's age and grade level; or, in lieu of one of these, the rationale for the student's placement.

(2) At least one annual goal and one short-term objective for more than 50 percent of the academic/functional areas where a need was indicated.

(3) More than one short-term objective for more than 90 percent of the academic/functional areas for which annual goals were included.

(4) Evaluation criteria for at least 25 percent of the short-term objectives.

(5) At least two short-term objectives per month of full-time equivalency of special education. (See Appendix G of Volume III.)

III. INFORMATIVENESS/INTERNAL CONSISTENCY LEVELS OF IEPs FOR THE STATE/SPECIAL FACILITY POPULATION

The distribution of State/Special Facility IEPs over the four informativeness/internal consistency levels was as portrayed in Figure G.1. As is indicated, the majority (74 percent) of the IEPs fell into the Level 2 and Level 3 categories; that is, they included the more critical information mandated by the Act but could not be considered exceptionally informative and internally consistent documents. This would appear to reflect a strong tendency to follow the letter of the law.

The only informativeness/internal consistency levels for which there were significant differences in the percents of IEPs for the State/Special Facility and Basic Survey populations were Levels 2 and 3. There were more Level 2 IEPs for students in state/special facilities (52 percent) than in the Basic Survey population (36 percent). There were more Level 3 IEPs for students in the Basic Survey population (35 percent) than for the State/Special Facility population (22 percent). Looking across these two levels, the percents are about the same (74 percent in the Basic Survey population and 72 percent in the State/Special Facility population).

An analysis of <u>why</u> State/Special Facility IEPs failed to reach the next higher level indicated the following:

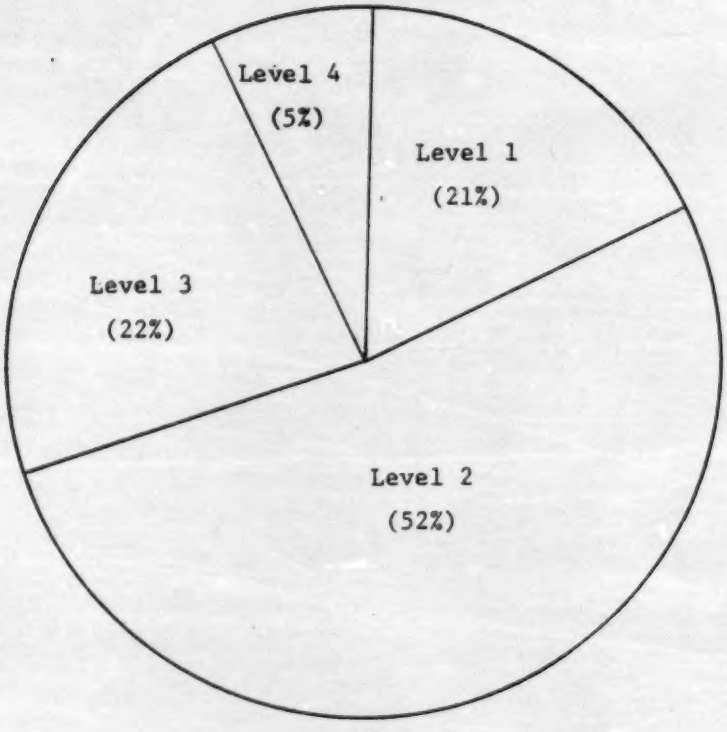

Figure G.1. Distribution of State/Special Facility IEPs Over the Four Levels.[1]

[1] Standard errors are: Level 1, 5.7; Level 2, 5.8; Level 3, 3.6; Level 4, approximately 3.4.

(a) Level 1 IEPs failed to meet Level 2 criteria primarily in that:

-- 63 percent did not include present-level-of-functioning information.

-- 38 percent did not include short-term objectives.

-- 23 percent did not include at least two of the following:

(1) Beginning date of service.

(2) Anticipated duration of service.

(3) Proportion of time in regular programs.

(b) Level 2 IEPs failed to meet Level 3 criteria primarily in that:

-- 27 percent failed to include at least two short-term objectives for more than 50 percent of the academic/functional areas for which an annual goal was listed.

-- 58 percent failed to include at least two of the following:

(1) Personnel responsible for services.

(2) Participants in the IEP process.

(3) Space for parental approval.

-- 37 percent failed to include at least two of the following:

(1) Beginning date of service.

(2) Anticipated duration of service.

(3) Proportion of time in regular programs.

(c) Level 3 IEPs failed to meet Level 4 criteria primarily in that:

-- 30 percent failed to include goals and objectives for more than 50 percent of the academic/functional areas where a need was indicated.

-- 58 percent failed to include at least two short-term objectives for more than 90 percent of the academic/functional areas for which an annual goal was listed.

-- 41 percent failed to provide evaluation criteria for evaluating at least 25 percent of the short-term objectives.

-- 59 percent failed to include at least two of the following:

(1) Student's age.

(2) Student's grade level.

(3) Rationale for placement.

-- 27 percent did not include the required number of short-term objectives.

Perhaps the simplest approach to summarizing the major potential areas for improvement in the State/Special Facility IEPs, based on the analyses discussed in this appendix, is to note the six major conditions that prevent 95 percent of the State/Special Facility IEPs from being considered exceptionally informative and internally consistent documents. Following is a brief discussion of these conditions, which in total were similar to the conditions causing major concerns in the Basic Survey population.

(a) A major determinant of the types of information entered in IEPs was the IEP format. As was portrayed in Figure G.1, 95 percent of the State/Special Facility IEPs failed to include some information considered desirable for an exceptionally informative and internally consistent IEP (e.g., such information as present level of performance, annual goals, short-term objectives, beginning date of service, anticipated duration of service, percent of time in regular program, and personnel responsible for services. As for the Basic Survey population, in a major portion (perhaps 90 percent) of these cases, based on data from Chapter 4, the State/ Special Facility IEP format did not include a heading requesting the information. In summary, the IEP format is a powerful determinant of provided information.

(b) In 60 percent of the State/Special Facility IEPs, evaluation criteria were provided for fewer than 25 percent of the short-term objectives. In only 51 percent of the IEPs were evaluation criteria included for at least 50 percent of the objectives. These data indicated that the lack of completeness of short-term objective statements was a major shortcoming of IEPs.

(c) Forty-eight percent of State/Special Facility IEPs failed to include annual goals and short-term objectives for more than 50 percent of the academic/functional areas where a special education need was indicated. While it would be expected that some needs would not necessarily be addressed because of priority needs in other areas, provision of special education services in no more than half of the areas of indicated need appeared to represent a deficiency either in the IEPs or in the services actually provided.

(d) Forty-seven percent of the IEPs did not include at least two short-term objectives per month of full-time equivalency of special education. (See Appendix G of Volume III.) While there is no need or

requirement for IEPs to include massive numbers of short-term objectives, almost half of the IEPs had such a small number of objectives (in relationship to duration of time covered and proportion of time that the student will be served) that appropriate "benchmarks" for meeting the annual goals could not be considered to be included.

(e) Thirty-three percent of the State/Special Facility IEPs did not provide evidence of a thorough evaluation of present level of functioning (as evidenced by the inclusion of supporting data, e.g., test data, for at least three academic/functional areas, or an indication that an evaluation was made in at least one area where special education was found not to be needed).

(f) Twenty-six percent of the State/Special Facility IEPs did not list at least two short-term objectives for at least 50 percent of the academic/ functional areas where an annual goal was listed. This was another indication that a sufficient number of short-term objectives often was not provided.

IV. SUMMARY

This appendix dealt with the overall informativeness and internal consistency of State/Special Facility IEPs. Four categories or levels of IEPs were established to conduct an exploratory investigation of informativeness and internal consistency.

While only five percent of the State/Special Facility IEPs could be considered exceptionally informative and internally consistent documents under the criteria used in these analyses, 79 percent generally met most of the requirements of the Act. All of the IEPs met at least part of the requirements of the Act.

The only informativeness/internal consistency levels for which there were significant differences in the percents of IEPs for the State/Special Facility and Basic Survey populations were Levels 2 and 3 IEPs. There were more Level 2 IEPs for students in state/special facilities than in the Basic Survey population, and there were more Level 3 IEPs for students in the Basic Survey population than for the State/Special Facility population. Looking across these two levels, the percents were about the same in the State/Special Facility and Basic Survey populations.

The major potential areas for improvement in State/Special Facility IEPs, based on the analyses discussed in this chapter, were:

a) Inclusion of headings in the IEP format under which to enter mandated information (e.g., beginning date of service, proposed duration of service).

b) Inclusion of headings in the IEP format under which to enter nonmandated but important information (e.g., age, grade level, rationale for placement, parental approval, personnel responsible for services, participants in the IEP process).

c) Inclusion of criteria for evaluating short-term objectives (either by writing the objectives in measurable terms or by including the evaluation criteria elsewhere in the IEP).

d) Provision of annual goals and short-term objectives for a larger proportion of the areas where needs are indicated.

e) Inclusion of sufficient number of short-term objectives to provide appropriate "benchmarks" of progress toward meeting the annual goals.

f) Provision of more complete information regarding present level of functioning.

These areas, in total, are very similar to those requiring improvement in the Basic Survey population.

Appendix H

Description of Reporting Variables

Appendix H

Description of Reporting Variables

This appendix defines the reporting variables and groups for the State/Special Facilities Substudy. All reported numbers refer to sample sizes.

A. Nature and Severity of Student Handicapping Condition

The handicapping condition(s) for each child was specified by the child's teacher. The teacher could specify one or more of eight types of handicaps (mentally retarded, learning disabled, emotionally disturbed, speech impaired, deaf and hard of hearing, visually handicapped, orthopedically impaired and other) for each child. Also, the teacher was asked to assign one of three severity levels (mild, moderate, severe) to each of the specified conditions.

Using these data reported by teachers, RTI assigned those children for whom more than one condition was noted to a "multiple conditions" category. The highest severity level for any single handicapping condition was assigned to these children. For example, a "moderate" learning disability combined with a "severe" visual handicap would be designated as a "severe" multiple condition; a "moderate" learning disability combined with a "moderate" visual handicap would be designated as a "moderate" multiple condition.

As a result, each of the 550 students in the sample was assigned to one of the following nine "nature-of-handicapping-condition" categories and one of the following three "severity-of-handicapping-condition" levels:

1) Nature of Handicapping Condition

a) Mentally retarded (n = 71).
b) Learning disabled (n = 21).
c) Emotionally disturbed (n = 40).
d) Speech impaired (n = 13).
e) Deaf and hard of hearing (n = 39).
f) Orthopedically impaired (n = 14).
g) Visually handicapped (n = 13).
h) Other health impaired (n = 34).
i) Multiple conditions (n = 305).

2) Severity of Handicapping Condition

a) Mild (n = 63).

b) Moderate (n = 157).

c) Severe (n = 330).

B. Student Age Levels: 3-5, 6-12, 13-15, and 16-21

Teachers specified the age, as of 1 December 1978, of each student in the sample. The following four broad age groupings were formed:

1) 3-5 years (n = 72).

2) 6-12 years (n = 168).

3) 13-15 years (n = 146).

4) 16-21 years (n = 164).

These age groupings correspond roughly to the age levels of preschool, elementary school, middle/junior high school, and senior high school students, respectively.